

UNITED STATES DISTRICT COURT
NORTHERN DISTRICT OF ILLINOIS
EASTERN DIVISION

UNITED STATES OF AMERICA

v.

GREGG SMITH,
MICHAEL NOWAK, and
JEFFREY RUFFO,

Defendants.

No. 19 CR 669

Judge Edmond E. Chang

UNITED STATES' AMENDED EXHIBIT LIST

The United States of America, by JOSEPH S. BEEMSTERBOER, Acting Chief of the Fraud Section, Criminal Division, hereby submits this amended exhibit list in accordance with the Court's April 10, 2022 minute entry (ECF No. 495) and Standing Order Governing Criminal Pretrial & Trial Procedures. The United States reserves the right to supplement or modify this submission as warranted during ongoing trial preparations, including to add other documents, demonstratives, visual depictions of trading activity, or other Rule 1006 summary charts.

Dated: May 5, 2022

Respectfully submitted,

JOSEPH S. BEEMSTERBOER
Acting Chief
Criminal Division, Fraud Section
U.S. Department of Justice

By: /s/*Matthew F. Sullivan*
Avi Perry, Deputy Chief
Matthew F. Sullivan, Trial Attorney
Lucy Jennings, Trial Attorney
Christopher Fenton, Trial Attorney

United States' Amended Exhibit List

No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
1	7/11/2019	Letter to Nick Lewis (Krieger Kim & Lewin)	DOJ proffer letter for July 11 & 12, 2019 meetings with Corey Flaum	DOJ-0017116621	DOJ-0017116624	R. 802 hearsay; R. 608(b) bolstering
2	7/25/2019	Cooperation Agreement, <i>United States v. Corey Flaum</i> , 19 CR 338 (BMC) (E.D.N.Y.)	Cooperation agreement between Flaum and the Fraud Section, Criminal Division, of the U.S. Department of Justice	DOJ-0017116658	DOJ-0017116665	R. 802 hearsay; R. 608(b) bolstering
3	8/7/2013	Email from C. Flaum to T. Dinneny, R. Mizrahi, R. Cameron, and J. Fox	Flaum statement regarding Dodd-Frank prohibition on disruptive trading practices	DOJ-0017009766	DOJ-0017009767	R. 802 hearsay
4	7/14/2018	Letter to Joseph DiBenedetto (The Law Office of Joseph DiBenedetto)	DOJ proffer letter for September 14, 2018 meeting with John Edmonds	DOJ-0017116628	DOJ-0017116630	R. 802 hearsay; R. 608(b) bolstering
5	10/9/2018	Letter to Joseph DiBenedetto (The Law Office of Joseph DiBenedetto)	Plea agreement between John Edmonds and the U.S. Department of Justice	DOJ-0021561985	DOJ-0021561996	R. 802 hearsay; R. 608(b) bolstering
6	10/9/2018	Letter to Joseph DiBenedetto (The Law Office of Joseph DiBenedetto)	Cooperation agreement between John Edmonds and the U.S. Department of Justice	DOJ-0017116654	DOJ-0017116657	R. 802 hearsay; R. 608(b) bolstering
7	8/7/2018	Recorded FBI interview of J. Edmonds	Interview regarding John Edmonds's trading activity at JPMorgan	DOJ-0017116726	DOJ-0017116726	R. 802 hearsay
8	11/14/2017	Transcript of Deposition of John Edmonds in <i>Shak v. J.P. Morgan Chase & Co.</i> , 15 Civ. 994 (S.D.N.Y.)	John Edmonds's statements regarding precious metals trading at JPMorgan	DOJ-0016994909	DOJ-0016995102	R. 802 hearsay
9	5/30/2017	Memo from D. Turnbull to Global People Support	Business rationale for reduction in force and elimination of John Edmonds's position	DOJ-0008293705	DOJ-0008293705	R. 401 relevance
10	7/1/2017	Letter from JPMorgan Corporate & Investment Bank Human Resources to J. Edmonds	Terms and agreement of John Edmonds's severance from JPMorgan	DOJ-0008293736	DOJ-0008293752	R. 401 relevance

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11	4/14/2011	Bloomberg Chat with J. Edmonds, R. Leahy & C. Trunz	J. Edmonds commenting about protecting a barrier	DOJ-0008996867	DOJ-0008996870	R. 802 hearsay
12	6/16/2009	Bloomberg Chat with J. Edmonds & J. Walpole	Discussion of CFTC's review related to JPMorgan's large, short futures position on the CME and the long OTC position and that they're "not outright manipulating"	DOJ-0008990105	DOJ-0008990109	R. 401 relevance; R. 403 prejudice, confusion, delay; R. 802 hearsay
13	9/12/2008	Reuters chat with M. Nowak and BNP Paribas	Discussion of John Edmonds as a "really good guy" who "sat right behind me"	DOJ-0010557979	DOJ-0010557979	
14	8/19/2019	Letter to Katya Jestin & Anthony Barkow (Jenner & Block)	DOJ proffer letter for August 19, 2019 meeting with Christian Trunz	DOJ-0017116631	DOJ-0017116633	R. 802 hearsay; R. 608(b) bolstering
15	8/20/2019	Cooperation Agreement, <i>United States v. Christian Trunz</i> , 19 CR 375 (SJ) (E.D.N.Y.)	Cooperation agreement between Trunz and the Fraud Section, Criminal Division, of the U.S. Department of Justice	DOJ-0017116666	DOJ-0017116674	R. 802 hearsay; R. 608(b) bolstering
16	8/17/2016	Email from S. Jackson to M. Nowak	Discussion of surveillance alerts triggered by C. Trunz trading in precious metals futures contracts between April and July 2016	DOJ-0015483022	DOJ-0015483023	R. 802 hearsay
17	8/22/2016	Email from G. Newman to Nowak	M. Nowak discussion with JPMorgan HR personnel of compliance review of C. Trunz's trading and his reaction to that process	DOJ-0014808949	DOJ-0014808950	
18	8/23/2016	G. Newman email to C. Trunz	C. Trunz discussion with JPMorgan HR personnel related to disciplinary process arising from his trading activity	DOJ-0014808966	DOJ-0014808966	R. 802 hearsay; R. 401 relevance

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
19	11/22/2016	Meeting Invite from S. Jackson to M. Nowak & C. Trunz regarding, “training matter”	Meeting invite to discuss using examples of C. Trunz’s trading at a training on spoofing and layering	DOJ-0014780430	DOJ-0014780430	
20	1/9/2017	Email from J. Cornelius to M. Nowak, C. Trunz & S. Jackson	Discussing proposed training slide deck that would use C. Trunz’s trading as real life examples of spoofing and layering	DOJ-0014778289	DOJ-0014778299	R. 802 hearsay
21	1/9/2017	Email from M. Nowak to J. Cornelius, C. Trunz & S. Jackson	M. Nowak and C. Trunz approving proposed training slide deck that uses C. Trunz’s trading as real life examples of spoofing and layering	DOJ-0014778288	DOJ-0014778288	
22	1/19/2017	Email from J. Katz to m. Nowak	Discussion of training session on spoofing and layering that M. Nowak conducted and used real life examples of C. Trunz’s trading	DOJ-0014778305	DOJ-0014778305	
23	1/24/2019	Chat with M. Nowak & C. Trunz	Discussion of location for the weekly meeting between M. Nowak and C. Trunz	DOJ-0017491017	DOJ-0017491017	
24	2/19/2019	Meeting Invite for 2/20/19 from M. Nowak to C. Trunz regarding “Catchup”	Invite for regular catchup meeting between M. Nowak and C. Trunz in the months before C. Trunz’s guilty plea in August 2019	DOJ-0017491060	DOJ-0017491060	
25	3/25/2019	Meeting Invite from M. Nowak to C. Trunz regarding “Catchup”	Invite for regular catchup meeting between M. Nowak and C. Trunz in the months before C. Trunz’s guilty plea in August 2019	DOJ-0017491070	DOJ-0017491070	

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
26	5/9/2019	Meeting Invite for 5/10/19 from M. Nowak to C. Trunz regarding "Catchup"	Invite for regular catchup meeting between M. Nowak and C. Trunz in the months before C. Trunz's guilty plea in August 2019	DOJ-0017491046	DOJ-0017491046	
27	7/24/2019	Meeting Invite for 7/24/19 from M. Nowak to C. Trunz regarding "Catchup"	Invite for regular catchup meeting between M. Nowak and C. Trunz in the months before C. Trunz's guilty plea in August 2019	DOJ-0017491053	DOJ-0017491053	
28	5/27/2008	Bloomberg Chat with M. Nowak & R. Gottlieb	Discussion of trading activity by G. Smith on JPMorgan precious metals desk	DOJ-0006124522	DOJ-0006124525	
29	5/30/2008	Bloomberg Chat with M. Nowak & R. Gottlieb	Discussion of trading activity in gold by R. Gottlieb and C. Jordan on JPMorgan precious metals desk	DOJ-0006124659	DOJ-0006124666	
30	6/23/2008	Bloomberg Chat with C. Jordan & R. Gottlieb (and others)	Discussion by C. Jordan and R. Gottlieb regarding trading strategies, including placing bids in order to sell	DOJ-0000000067	DOJ-0000000087	R. 802 hearsay; R. 403 prejudice, confusion, delay
31	8/19/2008	Bloomberg Chat with C. Jordan & J. Leeks (Goldman Sachs)	Discussion of trading activity by C. Jordan on JPMorgan precious metals desk	DOJ-0000000988	DOJ-0000000991	R. 401 relevance; R. 403 prejudice, confusion, delay
32	8/21/2008	Bloomberg Chat with M. Simonian & F. Amato	Discussion of trading activity updates for the JPMorgan precious metals desk between M. Simonian and F. Amato, including trading instructions for O. Weldon	DOJ-0006128496	DOJ-0006128502	R. 802 hearsay
33	-	Intentionally Left Blank				
34	-	Intentionally Left Blank				

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
35	10/13/2008	Bloomberg Chat with C. Jordan & R. Eyles	Discussion of trading activity by C. Jordan on JPMorgan precious metals desk and C. Jordan providing updates on status of orders for R. Eyles	DOJ-0000002487	DOJ-0000002490	R. 802 hearsay; R. 403 prejudice, confusion, delay
36	-	Intentionally Left Blank				
37	2/24/2009	Bloomberg Chat with C. Trunz & O. Beane	Discussion of trading activity by G. Smith on JPMorgan precious metals desk	DOJ-0000038049	DOJ-0000038056	
38	3/31/2009	Bloomberg Chat with J. Ruffo & J. Phelan (Tudor)	J. Ruffo providing market color and real-time updates on trading activity in the precious metals markets; receiving orders from J. Phelan and providing updates re: same	DOJ-0009335060	DOJ-0009335062	
39	-	Intentionally Left Blank				
40	4/8/2009	Email from D. Turnbull to JPMorgan Precious Metals Desk	Email providing recap of trading activity for the JPMorgan precious metals desk, including market color and updates on counterparties.	DOJ-0015769858	DOJ-0015769859	R. 802 hearsay
41	9/3/2009	Bloomberg Chat with C. Jordan & R. Eyles	C. Jordan describing his trading strategy involving hidden offers and providing updates on status of orders for R. Eyles	DOJ-0000018188	DOJ-0000018190	R. 802 hearsay; R. 403 prejudice, confusion, delay
42	9/15/2009	Bloomberg Chat with J. Ruffo & J. Phelan (Tudor)	J. Ruffo providing market color and updates on trading activity in the precious metals markets	DOJ-0010673430	DOJ-0010673431	
43	9/24/2009	Bloomberg Chat with R. Gottlieb & O. Weldon	Discussion of trading activity for the JPMorgan precious metals desk and related precious metals market updates	DOJ-0009079571	DOJ-0009079575	R. 802 hearsay

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44	10/15/2009	C. Jordan email to J. Mazzella	Discussion of trading activity by C. Jordan on JPMorgan precious metals desk	DOJ-0008239247	DOJ-0008239247	R. 802 hearsay; R. 401 relevance; R. 403 prejudice, confusion, delay
45	10/15/2009	Bloomberg Chat with C. Jordan & S. Jamison (Jamison Capital)	Discussion of trading activity by C. Jordan on JPMorgan precious metals desk	DOJ-0000020708	DOJ-0000020708	R. 802 hearsay; R. 401 relevance; R. 403 prejudice, confusion, delay
46	10/26/2009	Bloomberg Chat with C. Jordan & J. Leeks (Goldman Sachs)	Discussion of trading activity by C. Jordan on JPMorgan precious metals desk	DOJ-0000021320	DOJ-0000021321	R. 802 hearsay; R. 401 relevance; R. 403 prejudice, confusion, delay
47	11/18/2009	Bloomberg Chat with M. Nowak & S. Piller	Discussion of trading activity by S. Piller on JPMorgan precious metals desk	DOJ-0006157075	DOJ-0006157076	
48	12/3/2009	Bloomberg Chat with C. Trunz & O. Beane	Discussion of trading activity for the JPMorgan precious metals desk including G. Smith trading activity	DOJ-0000071261	DOJ-0000071263	R. 401 relevance; R. 403 prejudice, confusion, delay
49	12/9/2009	Bloomberg Chat with C. Trunz & O. Beane	Discussion of trading activity in the precious metals markets	DOJ-0009407098	DOJ-0009407101	R. 802 hearsay
50	12/15/2009	Bloomberg Chat with J. Ruffo & C. Harris (Phibro)	J. Ruffo providing market color and updates on trading activity in the precious metals markets	DOJ-0010675229	DOJ-0010675229	
51	12/16/2009	C. Trunz and G. Smith email exchange	Email providing updates on C. Trunz trading activity on the JPMorgan precious metals desk	DOJ-0015799114	DOJ-0015799114	
52	2/11/2010	Bloomberg Chat with R. Eyles and G. Smith	Discussion of trading activity in the precious metals markets, including comments on algorithmic traders	DOJ-0003454094	DOJ-0003454096	

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
53	2/25/2010	Bloomberg Chat with J. Ruffo & J. Giunta (Moore)	J. Ruffo providing market color and updates on trading activity in the precious metals markets; receiving orders from J. Giunta and providing updates re: same	DOJ-0010676758	DOJ-0010676760	
54	4/6/2010	Bloomberg Chat with J. Edmonds & C. Jordan (Credit Suisse)	Discussion of trading activity in the precious metals markets, including trading activity by C. Jordan on Credit Suisse precious metals desk	DOJ-0008250690	DOJ-0008250691	R. 802 hearsay
55	4/9/2010	Bloomberg Chat with J. Ruffo & J. Phelan (Tudor)	J. Ruffo providing market color and updates on trading activity in the precious metals markets	DOJ-0010677638	DOJ-0010677638	
56	-	Intentionally Left Blank				
57	5/13/2010	Bloomberg Chat with J. Edmonds & C. Jordan (Credit Suisse)	Discussion of trading activity in the precious metals markets, including J. Edmonds trading activity on JPMorgan precious metals desk	DOJ-0003689111	DOJ-0003689113	R. 802 hearsay
58	5/14/2010	Bloomberg Chat with J. Edmonds & C. Jordan (Credit Suisse)	Discussion of trading activity in the precious metals markets, including trading activity by C. Jordan on Credit Suisse precious metals desk	DOJ-0008263959	DOJ-0008263959	R. 802 hearsay
59	6/9/2010	Bloomberg Chat with J. Edmonds & C. Jordan (Credit Suisse)	Discussion of trading activity in the precious metals markets, including trading activity by C. Jordan on Credit Suisse precious metals desk	DOJ-0009786276	DOJ-0009786278	R. 802 hearsay
60	7/13/2010	Bloomberg Chat with J. Ruffo & J. Phelan (Tudor)	J. Ruffo providing market color and updates on trading activity in the precious metals markets	DOJ-0010679414	DOJ-0010679414	

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
61	11/3/2010	Bloomberg Chat with J. Edmonds & R. Leahy	Discussion of trading activity in precious metals markets, including updates from J. Edmonds on trading activity	DOJ-0003712826	DOJ-0003712831	R. 802 hearsay; R. 401 relevance
62	1/7/2011	Bloomberg Chat with M. Nowak & S. Piller	Discussion of trading activity by M. Nowak on JPMorgan precious metals desk	DOJ-0006195403	DOJ-0006195426	
63	3/16/2011	Bloomberg Chat with C. Jordan & J. Edmonds	Discussion of trading activity in the precious metals markets	DOJ-0003733496	DOJ-0003733508	R. 802 hearsay; R. 403 prejudice, confusion, delay
64	3/28/2011	Bloomberg Chat with C. Jordan & J. Edmonds	Discussion of trading activity in the precious metals markets	DOJ-0008996572	DOJ-0008996580	R. 802 hearsay
65	3/31/2011	Bloomberg Chat with C. Jordan & J. Edmonds	Discussion of trading activity in the precious metals markets and commenting on algorithmic traders	DOJ-0008996621	DOJ-0008996628	R. 802 hearsay
66	6/16/2011	Yahoo Chat with C. Jordan (First New York Securities) & J. Edmonds	Discussion of trading activity in the precious metals markets, commenting on algorithmic traders, and discussing trading strategy	DOJ-0008305012	DOJ-0008305013	R. 802 hearsay; R. 403 prejudice, confusion, delay
67	7/15/2011	Yahoo Chat with C. Jordan (First New York Securities) & J. Edmonds	Discussion of trading activity in the precious metals markets and commenting on algorithmic traders	DOJ-0008306425	DOJ-0008306426	R. 802 hearsay
68	8/22/2011	Yahoo Chat with C. Jordan (First New York Securities) & J. Edmonds	Discussion of trading activity in the precious metals markets	DOJ-0008308025	DOJ-0008308025	R. 802 hearsay; R. 403 prejudice, confusion, delay

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
69	1/30/2012	Bloomberg Chat with M. Nowak & W. Capps (Morgan Stanley)	Discussion of trading activity in the precious metals markets and M. Nowak commenting that spoofing by placing large bids and cancelling them is not permitted	DOJ-0006257753	DOJ-0006257754	
70	3/10/2012	Bloomberg Chat with J. Ruffo & J. Phelan (Tudor)	J. Ruffo providing market color and updates on trading activity in the precious metals markets	DOJ-0009341495	DOJ-0009341495	
71	5/2/2012	Bloomberg Chat with J. Ruffo & J. Ragusa (Soros)	J. Ruffo providing market color and updates on trading activity in the precious metals markets	DOJ-0014516000	DOJ-0014516000	
72	5/10/2012	Bloomberg Chat with J. Ruffo & J. Phelan (Tudor)	J. Ruffo providing market color and updates on trading activity in the precious metals markets	DOJ-0014516179	DOJ-0014516179	
73	7/16/2012	Bloomberg Chat with J. Ruffo & J. Giunta (Moore)	J. Ruffo providing market color and updates on trading activity in the precious metals markets	DOJ-0014517645	DOJ-0014517645	R. 401 relevance
74	11/12/2012	Bloomberg Chat with A. Larkin, M. Nowak & G. Sutton (Paulson)	Discussion of trading activity in the precious metals markets, M. Nowak receiving orders from G. Sutton and providing updates re: same	DOJ-0006310285	DOJ-0006310289	
75	3/21/2013	Bloomberg Chat with M. Nowak & S. Piller	M. Nowak commenting to S. Piller regarding Nowak's progress in attempting to sell gold	DOJ-0006367265	DOJ-0006367272	
76	8/14/2013	Email from D. Turnbull to JPMorgan Precious Metals Desk	Email providing recap of trading activity for the JPMorgan precious metals desk, including market color and updates on counterparties.	DOJ-0017399355	DOJ-0017399356	R. 802 hearsay; R. 401 relevance

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
77	8/14/2013	Recorded call between Edmonds & Turnbull (audio file)	Telephone call between J. Edmonds and D. Turnbull re: trading activity by Edmonds for Turnbull	DOJ-0021107203	DOJ-0021107203	
78	8/14/2013	Transcript of recorded call between J. Edmonds & D. Turnbull	Telephone call between J. Edmonds and D. Turnbull re: trading activity by Edmonds for Turnbull	DOJ-0021107303	DOJ-0021107303	
79	8/14/2013	Recorded call between Edmonds & Turnbull (audio file)	Telephone call between J. Edmonds and D. Turnbull re: trading activity by Edmonds for Turnbull	DOJ-0021107204	DOJ-0021107204	
80	8/14/2013	Transcript of recorded call between J. Edmonds & D. Turnbull	Telephone call between J. Edmonds and D. Turnbull re: trading activity by Edmonds for Turnbull	DOJ-0021107304	DOJ-0021107304	
81	8/14/2013	Excerpt from JPMorgan's Athena trade blotter system	Showing J. Edmonds filling an order for palladium and transferring it to D. Turnbull	DOJ-0020000120	DOJ-0020000120	
82	1/15/2015	Bloomberg Chat with D. Perlman, G. Smith, J. Edmonds & G. Sutton (Paulson)	Discussion of trading activity in the precious metals markets, G. Smith receiving orders from G. Sutton and providing updates re: same	DOJ-0003578805	DOJ-0003578810	
83	10/22/2015	Email from M. Turner to JPMorgan Precious Metals Desk	Email providing recap of trading activity for the JPMorgan precious metals desk, including market color and updates on counterparties.	DOJ-0015312974	DOJ-0015312974	R. 802 hearsay
84	3/6/2008	Bloomberg Chat with J. Ruffo & C. Pia (Moore)	J. Ruffo receiving order to sell gold from C. Pia and providing updates on its status	DOJ-0010658845	DOJ-0010658846	

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
85	3/5/2008	Bloomberg Chat with J. Ruffo & C. Pia (.xml file)	Contains time zone information for Bloomberg chat of the same date	DOJ-0021413456	DOJ-0021413456	
86	4/3/2008	Bloomberg Chat with M. Nowak and J. Ruffo	Discussing trading activity in the precious metals markets, including J. Ruffo's need to offer in order to fill orders to buy gold	DOJ-0006123202	DOJ-0006123205	
87	4/3/2008	Bloomberg Chat with J. Ruffo & C. Pia (Moore)	J. Ruffo receiving an order to sell silver from C. Pia and providing updates on its status	DOJ-0010659131	DOJ-0010659133	
88	4/3/2008	Bloomberg Chat with J. Ruffo & C. Pia (Moore) (.xml file)	Contains time zone information for Bloomberg chat of the same date	DOJ-0021414150	DOJ-0021414150	
89	4/3/2008	Bloomberg Chat with J. Ruffo & J. Giunta (Moore)	Discussion of trading activity in the precious metals markets and J. Ruffo providing updates on status of orders for J. Giunta, including J. Ruffo's need to offer in order to fill orders to buy gold	DOJ-0010659141	DOJ-0010659142	
90	4/3/2008	Bloomberg Chat with J. Ruffo & J. Giunta (Moore) (.xml file)	Contains time zone information for Bloomberg chat of the same date	DOJ-0021414152	DOJ-0021414152	
91	8/7/2008	Bloomberg Chat with J. Ruffo & J. Giunta (Moore)	J. Ruffo providing market color and updates on trading activity in the precious metals markets; receiving orders from J. Giunta and providing updates re: same	DOJ-0009334099	DOJ-0009334101	R. 401 relevance
92	10/3/2008	Bloomberg Chat with J. Ruffo & J. Giunta (Moore)	J. Ruffo providing market color and updates on trading activity in the precious metals markets; receiving orders from J. Giunta and providing updates re: same	DOJ-0010665211	DOJ-0010665212	

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
93	6/4/2009	Bloomberg Chat with J. Ruffo & R. McIntyre	J. Ruffo providing market color and updates on trading activity in the precious metals markets	DOJ-0010671933	DOJ-0010671933	R. 401 relevance; R. 403 prejudice, confusion, delay; R. 802 hearsay
94	2/4/2010	Bloomberg Chat with J. Ruffo & J. Giunta (Moore)	J. Ruffo providing market color and updates on trading activity in the precious metals markets; receiving orders from J. Giunta and providing updates re: same	DOJ-0010676233	DOJ-0010676234	
95	5/6/2010	Bloomberg Chat with J. Ruffo & J. Phelan (Tudor)	J. Ruffo providing market color and updates on trading activity in the precious metals markets; receiving orders from J. Phelan and providing updates re: same	DOJ-0009337389	DOJ-0009337391	
96	5/24/2010	Bloomberg Chat with J. Ruffo & J. Giunta (Moore)	J. Ruffo providing market color and updates on trading activity in the precious metals markets; receiving orders from J. Giunta and providing updates re: same	DOJ-0010678582	DOJ-0010678583	
97	5/24/2010	Bloomberg Chat with J. Ruffo & J. Giunta (Moore) (.xml file)	Contains time zone information for Bloomberg chat of the same date	DOJ-0021315151	DOJ-0021315151	
98	6/4/2010	Bloomberg Chat with J. Ruffo & J. Giunta (Moore)	J. Ruffo providing market color and updates on trading activity in the precious metals markets; receiving orders from J. Giunta and providing updates re: same	DOJ-0010678814	DOJ-0010678822	R. 401 relevance
99	7/1/2010	Bloomberg Chat with J. Ruffo & J. Phelan (Tudor)	J. Ruffo providing market color and updates on trading activity in the precious metals markets	DOJ-0010679275	DOJ-0010679275	R. 401 relevance

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
100	7/1/2010	Bloomberg Chat with J. Ruffo & J. Phelan (Tudor)	J. Ruffo providing market color and updates on trading activity in the precious metals markets; receiving orders from J. Phelan and providing updates re: same	DOJ-0010679286	DOJ-0010679287	R. 401 relevance
101	9/16/2010	Bloomberg Chat with J. Ruffo & J. Giunta (Moore)	J. Ruffo providing market color and updates on trading activity in the precious metals markets; receiving orders from J. Giunta and providing updates re: same	DOJ-0010680234	DOJ-0010680236	R. 401 relevance
102	10/8/2010	Bloomberg Chat with J. Ruffo & J. Giunta (Moore)	J. Ruffo providing market color and updates on trading activity in the precious metals markets; receiving orders from J. Giunta and providing updates re: same	DOJ-0010680620	DOJ-0010680622	
103	10/14/2010	Bloomberg Chat with J. Ruffo & J. Giunta (Moore)	J. Ruffo providing market color and updates on trading activity in the precious metals markets; receiving orders from J. Giunta and providing updates re: same	DOJ-0010680742	DOJ-0010680743	
104	10/14/2010	Bloomberg Chat with J. Ruffo & J. Giunta (Moore) (.xml file)	Contains time zone information for Bloomberg chat of the same date	DOJ-0021413458	DOJ-0021413458	
105	12/12/2011	Bloomberg Chat with J. Ruffo & J. Giunta (Moore)	J. Ruffo providing market color and updates on trading activity in the precious metals markets; receiving orders from J. Giunta and providing updates re: same	DOJ-0009340898	DOJ-0009340902	
106	12/12/2011	Bloomberg Chat with J. Ruffo & J. Giunta (Moore) (.xml file)	Contains time zone information for Bloomberg chat of the same date	DOJ-0021414149	DOJ-0021414149	

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
107	1/18/2012	Bloomberg Chat with J. Ruffo & J. Phelan (Tudor)	J. Ruffo providing market color and updates on trading activity in the precious metals markets; receiving orders from J. Phelan and providing updates re: same	DOJ-0009341005	DOJ-0009341007	
108	1/18/2012	Chat with Ruffo & Phelan (.xml file)	Contains time zone information for Bloomberg chat of the same date	DOJ-0021315167	DOJ-0021315167	
109	7/12/2012	Bloomberg Chat with J. Ruffo & J. Giunta (Moore)	J. Ruffo providing market color and updates on trading activity in the precious metals markets; receiving orders from J. Giunta and providing updates re: same	DOJ-0014517580	DOJ-0014517580	
110	7/12/2012	Bloomberg Chat with J. Ruffo & J. Giunta (Moore) (.xml file)	Contains time zone information for Bloomberg chat of the same date	DOJ-0021315172	DOJ-0021315172	
111	11/28/2012	Bloomberg Chat with J. Ruffo & J. Phelan (Tudor)	J. Ruffo providing market color and updates on trading activity in the precious metals markets; receiving orders from J. Phelan and providing updates re: same	DOJ-0014520790	DOJ-0014520792	
112	5/15/2013	Bloomberg Chat with J. Ruffo & J. Giunta (Moore)	J. Ruffo providing market color and updates on trading activity in the precious metals markets; receiving orders from J. Giunta and providing updates re: same	DOJ-0014525691	DOJ-0014525692	
113	5/15/2013	Bloomberg Chat with J. Ruffo & J. Giunta (Moore) (.xml file)	Contains time zone information for Bloomberg chat of the same date	DOJ-0021562083	DOJ-0021562083	
114	3/12/2014	Bloomberg Chat with J. Ruffo & J. Giunta (Moore)	J. Ruffo providing market color and updates on trading activity in the precious metals markets; receiving orders from J. Giunta and providing updates re: same	DOJ-0014533176	DOJ-0014533179	R. 401 relevance

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
115	11/19/2014	Bloomberg Chat with J. Ruffo, G. Smith & A. Ebling	Discussion of trading activity in the precious metals markets	DOJ-0003575126	DOJ-0003575127	R. 401 relevance
116	1/22/2015	Bloomberg Chat with J. Ruffo & J. Giunta (Moore)	J. Ruffo providing market color and updates on trading activity in the precious metals markets; receiving orders from J. Giunta and providing updates re: same	DOJ-0009348584	DOJ-0009348585	
117	7/2/2010	Bloomberg Chat with M. Nowak & S. Piller	S. Piller begins to chat with M. Nowak and suggests they take it off Bloomberg chat	DOJ-0010570163	DOJ-0010570163	
118	7/28/2011	Bloomberg Chat with M. Nowak, M. Simonian, J. Edmonds, J. Moskowitz (TFS) & R. Harrison (TFS)	Discussion of trading activity in precious metals markets, M. Nowak placing orders for JPMorgan precious metals desk, and TFS brokers provide updates on status of orders for M. Nowak. Edmonds suggests R. Harrison comment should not have been made in a chat	DOJ-0006746042	DOJ-0006746049	R. 802 hearsay; R. 401 relevance
119	5/16/2008	Bloomberg Chat with M. Nowak, R. Gottlieb & R. Eyles	Discussing the timeline for transition of Bear Stearns traders over to JPMorgan	DOJ-0006124219	DOJ-0006124221	
120	6/2/2008	Bloomberg Chat with M. Nowak & R. Gottlieb	Discussing R. Gottlieb's first day at JPMorgan	DOJ-0006124702	DOJ-0006124707	
121	3/27/2008	Bloomberg Chat with M. Nowak & S. Piller	Discussing the transition of Bear Stearns traders over to JPMorgan and potential roles on the precious metals desk	DOJ-0006123102	DOJ-0006123106	
122	3/31/2008	Bloomberg Chat with M. Nowak & R. Gottlieb	Discussing the transition of Bear Stearns traders over to JPMorgan and the close relationship between G. Smith and J. Ruffo	DOJ-0006123132	DOJ-0006123136	R. 802 hearsay

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
123	4/3/2008	Bloomberg Chat with M. Nowak & R. Gottlieb	Discussing the transition of Bear Stearns traders over to JPMorgan and the assignment of gold and silver trading between G. Smith and C. Jordan	DOJ-0006123184	DOJ-0006123189	
124	4/7/2008	Bloomberg Chat with M. Nowak & R. Gottlieb	Discussing the transition of Bear Stearns traders over to JPMorgan and J. Edmonds and C. Trunz as junior employees	DOJ-0006123230	DOJ-0006123236	
125	10/11/2013	Email from G. Smith to E. Ferrara	Screenshot of software program used to trade precious metals futures on the CME	DOJ-0021577575	DOJ-0021577576	
126	2008-2012	2008 - 2012 Allocated Franchise Revenue (“AFR”) attributed to JPMC salesperson for precious metals trading	AFR is an internal reporting and credit mechanism used by JPMorgan to report on the value associated with a specific customer and to assign credit to a salesperson’s (e.g., J. Ruffo) contribution for coverage of a customer	DOJ-0021413657	DOJ-0021413657	
127	2013	2013 AFR attributed to JPMC salesperson for precious metals trading	AFR is an internal reporting and credit mechanism used by JPMorgan to report on the value associated with a specific customer and to assign credit to a salesperson’s (e.g., J. Ruffo) contribution for coverage of a customer	DOJ-0021413658	DOJ-0021413658	

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
128	2014	2014 AFR attributed to JPMC salesperson for precious metals trading	AFR is an internal reporting and credit mechanism used by JPMorgan to report on the value associated with a specific customer and to assign credit to a salesperson's (e.g., J. Ruffo) contribution for coverage of a customer	DOJ-0021413659	DOJ-0021413659	
129	2015	2015 AFR attributed to JPMC salesperson for precious metals trading	AFR is an internal reporting and credit mechanism used by JPMorgan to report on the value associated with a specific customer and to assign credit to a salesperson's (e.g., J. Ruffo) contribution for coverage of a customer	DOJ-0021413660	DOJ-0021413660	
130	2016	2016 AFR attributed to JPMC salesperson for precious metals trading	AFR is an internal reporting and credit mechanism used by JPMorgan to report on the value associated with a specific customer and to assign credit to a salesperson's (e.g., J. Ruffo) contribution for coverage of a customer	DOJ-0021413661	DOJ-0021413661	
131	2008	J.P. Morgan Energy Compliance Manual	Manual applicable to JPMorgan's precious metals desk and includes a discussion of the CFTC and the Commodity Exchange Act's prohibition on manipulation	DOJ-0008290300	DOJ-0008290330	R. 401 relevance; R. 403 prejudice, confusion, delay

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
132	5/7/2010	J.P. Morgan Ventures Energy Corporation Compliance Manual (Version 2)	Manual applicable to JPMorgan's precious metals desk and includes a discussion of the CFTC, the Commodity Exchange Act's prohibition on manipulation and attempted manipulation, and conduct that may suggest manipulation such as uneconomic trading activity	DOJ-0008290362	DOJ-0008290439	R. 401 relevance; R. 403 prejudice, confusion, delay
133	5/11/2011	J.P. Morgan Ventures Energy Corporation Compliance Manual (Version 3)	Manual applicable to JPMorgan's precious metals desk and includes a discussion of the CFTC, the Commodity Exchange Act's prohibition on manipulation and attempted manipulation, and conduct that may suggest manipulation such as uneconomic trading activity	DOJ-0008290596	DOJ-0008290673	R. 401 relevance; R. 403 prejudice, confusion, delay
134	Sept. 2012	J.P. Morgan North American Commodities Compliance Manual (Version 4)	Manual applicable to JPMorgan's precious metals desk and includes a discussion of the CFTC, the Commodity Exchange Act's prohibition on manipulation and attempted manipulation, and conduct that may suggest manipulation such as uneconomic trading activity	DOJ-0008290675	DOJ-0008290773	

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
135	Sept. 2013	J.P. Morgan North American Commodities Compliance Manual (Version 5)	Manual applicable to JPMorgan's precious metals desk and includes a discussion of the CFTC, the Commodity Exchange Act's prohibition on manipulation and attempted manipulation, and conduct that may suggest manipulation such as uneconomic trading activity	DOJ-0008290775	DOJ-0008290867	
136	9/15/2012	Anti-Fraud, Anti-Manipulation and Other Prohibited Trade Practices	Policy applicable to members of JPMorgan's precious metals desk and includes a discussion of market manipulation and spoofing	DOJ-0008291391	DOJ-0008291396	R. 401 relevance; R. 403 prejudice, confusion, delay
137	11/9/2012	Anti-Fraud, Anti-Manipulation and Other Prohibited Trade Practices	Policy applicable to members of JPMorgan's precious metals desk and includes a discussion of market manipulation and spoofing	DOJ-0008291418	DOJ-0008291423	R. 401 relevance; R. 403 prejudice, confusion, delay
138	2/8/2013	Anti-Fraud, Anti-Manipulation and Other Prohibited Trade Practices	Policy applicable to members of JPMorgan's precious metals desk and includes a discussion of market manipulation and spoofing	DOJ-0008291436	DOJ-0008291442	R. 401 relevance; R. 403 prejudice, confusion, delay
139	10/28/2013	Anti-Fraud, Anti-Manipulation and Other Prohibited Trade Practices	Policy applicable to members of JPMorgan's precious metals desk and includes a discussion of market manipulation and spoofing	DOJ-0008291464	DOJ-0008291470	R. 401 relevance; R. 403 prejudice, confusion, delay
140	5/14/2014	Anti-Fraud, Anti-Manipulation and Other Prohibited Trade Practices Policy	Policy applicable to members of JPMorgan's precious metals desk and includes a discussion of market manipulation and spoofing	DOJ-0008291485	DOJ-0008291490	R. 401 relevance; R. 403 prejudice, confusion, delay

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
141	8/28/2015	Anti-Fraud, Anti-Manipulation and Other Prohibited Trade Practices	Policy applicable to members of JPMorgan's precious metals desk and includes a discussion of market manipulation and spoofing	DOJ-0008291525	DOJ-0008291533	R. 401 relevance; R. 403 prejudice, confusion, delay
142	6/13/2011	Avoiding Market Manipulation	Policy applicable to members of JPMorgan's precious metals desk in EMEA and includes prohibition on market manipulation and provides examples including trades that have no economic rationale	DOJ-0020209541 DOJ-0020209542	DOJ-0020209541 DOJ-0020209542	R. 401 relevance; R. 403 prejudice, confusion, delay
143	7/21/2010	Avoiding Market Manipulation	Policy applicable to members of JPMorgan's precious metals desk in EMEA and includes prohibition on market manipulation and provides examples including trades that have no economic rationale	DOJ-0020209554	DOJ-0020209555	R. 401 relevance; R. 403 prejudice, confusion, delay
144	10/9/2014	JPMorgan Chase & Co. Commodities Compliance Program	Summary of the policies, procedures, and controls constituting JPMorgan's compliance program for the Global Commodities Group	DOJ-0008288935	DOJ-0008288954	R. 401 relevance; R. 403 prejudice, confusion, delay
145	8/12/2015	JPMorgan Chase & Co. Global Commodities Compliance Program	Summary of the policies, procedures, and controls constituting JPMorgan's compliance program for the Global Commodities Group	DOJ-0008288902	DOJ-0008288916	R. 401 relevance; R. 403 prejudice, confusion, delay

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
146	8/26/2011	IB Compliance Bulletins email, "Expansion of CFTC Anti-Manipulation and Anti-Fraud Rules"	Email sent to members of JPMorgan's precious metals desk, among others, and includes a discussion of the CFTC's new anti-manipulation and anti-fraud rules	DOJ-0015255171	DOJ-0015255172	R. 401 relevance; R. 403 prejudice, confusion, delay
147	11/20/2012	CIB Compliance Bulletin email, "Anti-Fraud, Anti-Manipulation and Other Prohibited Practices "	Email sent to members of JPMorgan's precious metals desk, among others, and includes a discussion of JPMorgan's adoption of its anti-fraud, anti-manipulation, and other prohibited practices policy	DOJ-0015273707	DOJ-0015273708	R. 401 relevance; R. 403 prejudice, confusion, delay
148	7/30/2013	CIB Compliance Bulletin email, "CFTC Guidance on Disruptive Trading Practices"	Email sent to members of JPMorgan's precious metals desk, among others, and includes a discussion of the CFTC's guidance on disruptive trading practices such as spoofing	DOJ-0016818727	DOJ-0016818728	
149	5/21/2014	Compliance Bulletin email, "Spoofing and Other Manipulative Trading Practices"	Email sent to members of JPMorgan's precious metals desk, among others, and includes a discussion of spoofing, recent CFTC and SEC enforcement actions, and guidance on avoiding market manipulation	DOJ-0016818890	DOJ-0016818891	
150	7/22/2014	Email to undisclosed recipient list, "Spoofing and Other Manipulative Trading Practices"	Email sent to members of JPMorgan's precious metals desk in EMEA and includes a discussion of recent enforcement actions for spoofing and market manipulation	DOJ-0014778368	DOJ-0014778369	

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
151	9/15/2014	CIB Compliance Bulletin email, "Prohibited Disruptive Trading Practices"	Email sent to members of JPMorgan's precious metals desk, among others, and includes a discussion of CME Rule 575 prohibiting disruptive trading practices such as spoofing	DOJ-0016818895	DOJ-0016818896	R. 401 relevance; R. 403 prejudice, confusion, delay
152	12/2/2015	Compliance Bulletin email, "Spoofing, Layering, and Other Manipulative Trading Practices"	Email sent to members of JPMorgan's precious metals desk, among others, and includes a discussion of the criminal conviction in the Coscia case	DOJ-0016819047	DOJ-0016819048	R. 401 relevance; R. 403 prejudice, confusion, delay
153	-	JPM Compliance Bulletin Tracker	Identifying specific compliance bulletins sent to the defendants and others	DOJ-0020211858	DOJ-0020211858	
154	January-10	Compliance Education Global Commodities Group North America	Training that contains a discussion of market manipulation, including with respect to orders which give false or misleading signals and to placing non-economic trades	DOJ-0016453182	DOJ-0016453197	R. 401 relevance; R. 403 prejudice, confusion, delay
155	1/25/2010	Email from A. Nakkab to S. Sica	Asking for 25 copies to be printed of the "Compliance Education Global Commodities Group North America" slide deck	DOJ-0021520877	DOJ-0021520877	R. 401 relevance; R. 802 hearsay

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
156	Fall 2010	Futures & Options and OTC Clearing Compliance Training & Education	Training that contains a discussion of rules and guidelines for electronic communications, including an example where a JPMorgan trader mentions "how easily manipulated [markets] could be if someone really wanted to try!!!!," and that contains a discussion of the prohibition against placing non-economic trades	DOJ-0016453118	DOJ-0016453178	R. 401 relevance; R. 403 prejudice, confusion, delay
157	4/8/2009	Email from D. Turnbull to G. Smith, M. Nowak, C. Jordan, C. Trunz, C. Callaway, F. Amato, M. Simonian, O. Weldon, R. Gottlieb, S. Piller, and T. Ka	Providing members of JPMorgan's precious metals desk a recap of the trading day in the platinum and palladium markets, including the statement "Just goes to show you how little involvement there really is sometimes in these metals and how easily manipulated they could be if someone really wanted to try!"	DOJ-0015769858	DOJ-0015769859	Duplicate of GX 40 (same objection: R. 802 hearsay)

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
158	2011	Annual Compliance Training 2011	Training that contains a discussion of the prohibition against placing non-economic trades and the CFTC's anti-manipulation rules and a discussion of the rules and guidelines for electronic communications, including an example where a trader says, "Just opened my bottom drawer where I keep my lead pipe, removed it and now holding it."	DOJ-0008289077	DOJ-0008289162	R. 401 relevance; R. 403 prejudice, confusion, delay
159	11/9/2011	Meeting Invite for "REMINDER GCG Mandatory Annual Compliance Training"	Meeting invite for annual compliance trading for members of JPMorgan's precious metals desk, among others	DOJ-0014779454	DOJ-0014779455	R. 403 prejudice, confusion, delay
160	11/13/2012	Meeting Invite for "Mandatory Annual Compliance Training for GCG North America"	Meeting invite for annual compliance trading for members of JPMorgan's precious metals desk, among others	DOJ-0009022845	DOJ-0009022845	R. 403 prejudice, confusion, delay
161	11/29/2012	Meeting Invite for "Mandatory Annual Compliance Training for GCG North America (Make-up Session) - Materials attached"	Meeting invite for make-up session of annual compliance trading for members of JPMorgan's precious metals desk, among others, and attaches a slide deck	DOJ-0020000713	DOJ-0020000715	R. 403 prejudice, confusion, delay
162	Dec. 2012	J.P. Morgan Go-Live Training Regarding Dodd-Frank	Training regarding Dodd-Frank provisions, including the prohibition on fraud, manipulation, and other abusive practices such as spoofing and trades without an economic rationale	DOJ-0016455673	DOJ-0016455709	R. 401 relevance; R. 403 prejudice, confusion, delay

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
163	November - December 2013	Global Commodities Group Annual Compliance Training	Training that contains a discussion of JPMorgan's anti-fraud, anti-manipulation, and other prohibited practices policy, including that creating the artificial appearance of active trading is prohibited	DOJ-0008289205	DOJ-0008289230	R. 401 relevance; R. 403 prejudice, confusion, delay
164	11/18/2013	Recording of compliance training on 11/18/2013	Recording of live compliance training during which the discussion covers, among other things, anti-fraud and manipulation rules and related recent CFTC actions	DOJ-0014782557	DOJ-0014782557	
165	11/18/2013	Transcript of recording of compliance meeting on 11/18/2013	Transcript of live compliance training during which the discussion covers, among other things, anti-fraud and manipulation rules and related recent CFTC actions	DOJ-0014773591	DOJ-0014773620	
166	Nov. 2013	Core Policies and Principles for CIB Markets - Trading	Training that contains a discussion of manipulation and market abuse, including spoofing/layering and creating a false or misleading appearance in the market	DOJ-0014778432	DOJ-0014778451	R. 401 relevance; R. 403 prejudice, confusion, delay
167	12/5/2013	Meeting Invite for "Mandatory NY Bullion, EMM and Index Traders Compliance Training" with the attachment, "Core Policies and Principles for CIB Markets - Trading"	Invite for mandatory, in-person training focused on manipulation, front-running, and collusion regarding the slide deck attached to the meeting invite	DOJ-0015285163	DOJ-0015285163	

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
168	2014	Market Abuse and Information Barriers	Training regarding activity in EMEA that discusses market abuse, including spoofing and the prohibition on trading to create a false or misleading impression	DOJ-0016453645	DOJ-0016453707	R. 401 relevance; R. 403 prejudice, confusion, delay
169	Nov. 2014	Global Commodities Group Annual Compliance Training	Training that contains a discussion of CME Rule 575 prohibiting disruptive trading practices such as spoofing	DOJ-0008289231	DOJ-0008289257	R. 401 relevance; R. 403 prejudice, confusion, delay
170	11/3/2014	Recording of compliance meeting on 11/3/2014	Recording of live compliance training during which the discussion covers, among other things, CME Rule 575, spoofing/layering, and a former JPMorgan trader who was terminated for spoofing/layering	DOJ-0014782556	DOJ-0014782556	
171	11/3/2014	Transcript of recording of compliance meeting on 11/3/2014	Transcript of live compliance training during which the discussion covers, among other things, CME Rule 575, spoofing/layering, and a former JPMorgan trader who was terminated for spoofing/layering	DOJ-0014773621	DOJ-0014773641	
172	1/18/2017	Meeting Invite for "Trading Conduct - Classroom Training" with the attachments, "Trading Conduct Training" and "Examples"	Invite for classroom training on trading conduct using a slide deck that contains three instances of C. Trunz's trading activity as example of spoofing and layering	DOJ-0014778277	DOJ-0014778277	
173	-	Information from JPM's firm-wide learning management system, Training Central	Identifies compliance trainings completed by, among others, G. Smith, M. Nowak, J. Ruffo, C. Jordan, C. Trunz & J. Edmonds	DOJ-0014804992	DOJ-0014804992	

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
174	2/17/2010	Bloomberg Chat with C. Trunz, J. Edmonds, E. Poirier (Newedge), & J. Stanger (Newedge)	Discussion of the ethics training that the JPMorgan traders had to attend	DOJ-0000082005	DOJ-0000082011	R. 802 hearsay; R. 401 relevance; R. 403 prejudice, confusion, delay
175	1/31/2014	Email from M. Camacho to A. Nakkab	Discusses the CME's attempt to contact M. Simonian regarding his trading strategy	DOJ-0014782142	DOJ-0014782142	R. 802 hearsay; R. 401 relevance; R. 403 prejudice, confusion, delay
176	3/25/2014	Email from B. Austin to M. Nowak & M. Camacho	Update on status of JPMorgan's disciplinary process for M. Simonian	DOJ-0014782112	DOJ-0014782112	R. 802 hearsay; R. 401 relevance
177	10/21/2014	Notes from meeting with M. Nowak, S. Jhamna & S. Bywater	Notes from S. Jhamna interview of M. Nowak regarding M. Simonian's trading activity	DOJ-0008294121	DOJ-0008294122	R. 802 hearsay
178	Feb-08	JPMorgan Chase & Co. Code of Conduct	Requires, among other things, all JPMorgan employees to be in compliance with the law, the Code of Conduct, and any other policies and procedures applicable to the employee	DOJ-0014809521	DOJ-0014809554	
179	May-09	JPMorgan Chase & Co. Code of Conduct	Requires, among other things, all JPMorgan employees to be in compliance with the law, the Code of Conduct, and any other policies and procedures applicable to the employee	DOJ-0014809636	DOJ-0014809670	
180	May-10	JPMorgan Chase & Co. Code of Conduct	Requires, among other things, all JPMorgan employees to be in compliance with the law, the Code of Conduct, and any other policies and procedures applicable to the employee	DOJ-0014809599	DOJ-0014809635	

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
181	Apr-11	JPMorgan Chase & Co. Code of Conduct	Requires, among other things, all JPMorgan employees to be in compliance with the law, the Code of Conduct, and any other policies and procedures applicable to the employee	DOJ-0014809710	DOJ-0014809750	
182	May-21	JPMorgan Chase & Co. Code of Conduct	Requires, among other things, all JPMorgan employees to be in compliance with the law, the Code of Conduct, and any other policies and procedures applicable to the employee	DOJ-0014809871	DOJ-0014809922	
183	Jun-13	JPMorgan Chase & Co. Code of Conduct	Requires, among other things, all JPMorgan employees to be in compliance with the law, the Code of Conduct, and any other policies and procedures applicable to the employee	DOJ-0014809923	DOJ-0014809974	
184	Jun-14	JPMorgan Chase & Co. Code of Conduct	Requires, among other things, all JPMorgan employees to be in compliance with the law, the Code of Conduct, and any other policies and procedures applicable to the employee	DOJ-0014810027	DOJ-0014810076	
185	Jun-15	JPMorgan Chase & Co. Code of Conduct	Requires, among other things, all JPMorgan employees to be in compliance with the law, the Code of Conduct, and any other policies and procedures applicable to the employee	DOJ-0014810077	DOJ-0014810126	

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
186	Jun-16	JPMorgan Chase & Co. Code of Conduct	Requires, among other things, all JPMorgan employees to be in compliance with the law, the Code of Conduct, and any other policies and procedures applicable to the employee	DOJ-0014810177	DOJ-0014810226	
187	2009-2018	Gregg Smith JPMorgan Chase & Co. Code of Conduct Affirmation Record	Annual affirmation that, among other things, the employee is compliance with JPMorgan's Code of Conduct and other applicable policies	DOJ-0014776497	DOJ-0014776506	
188	2008-2018	Michael Nowak JPMorgan Chase & Co. Code of Conduct Affirmation Record	Annual affirmation that, among other things, the employee is compliance with JPMorgan's Code of Conduct and other applicable policies	DOJ-0014776524	DOJ-0014776534	
189	2008-2009	Christopher Jordan JPMorgan Chase & Co. Code of Conduct Affirmation Record	Annual affirmation that, among other things, the employee is compliance with JPMorgan's Code of Conduct and other applicable policies	DOJ-0014776473	DOJ-0014776474	
190	2009-2016	Jeffrey Ruffo JPMorgan Chase & Co. Code of Conduct Affirmation Record	Annual affirmation that, among other things, the employee is compliance with JPMorgan's Code of Conduct and other applicable policies	DOJ-0019983013	DOJ-0019983020	
191	2008-2016	John Edmonds JPMorgan Chase & Co. Code of Conduct Affirmation Record	Annual affirmation that, among other things, the employee is compliance with JPMorgan's Code of Conduct and other applicable policies	DOJ-0014776515	DOJ-0014776523	

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
192	2009-2018	Christian Trunz JPMorgan Chase & Co. Code of Conduct Affirmation Record	Annual affirmation that, among other things, the employee is compliance with JPMorgan's Code of Conduct and other applicable policies	DOJ-0014776463	DOJ-0014776472	
193	2008-2013	Michel Simonian JPMorgan Chase & Co. Code of Conduct Affirmation Record	Annual affirmation that, among other things, the employee is compliance with JPMorgan's Code of Conduct and other applicable policies	DOJ-0014776535	DOJ-0014776540	
194	2008-2016	Stuart Piller JPMorgan Chase & Co. Code of Conduct Affirmation Record	Annual affirmation that, among other things, the employee is compliance with JPMorgan's Code of Conduct and other applicable policies	DOJ-0014782103	DOJ-0014782111	
195	2008-2018	Donald Turnbull JPMorgan Chase & Co. Code of Conduct Affirmation Record	Annual affirmation that, among other things, the employee is compliance with JPMorgan's Code of Conduct and other applicable policies	DOJ-0014776475	DOJ-0014776485	
196	2009-2013	Robert Gottlieb JPMorgan Chase & Co. Code of Conduct Affirmation Record	Annual affirmation that, among other things, the employee is compliance with JPMorgan's Code of Conduct and other applicable policies	DOJ-0014776547	DOJ-0014776551	
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198	-	Intentionally Left Blank				
199	-	Intentionally Left Blank				
200	-	Intentionally Left Blank				

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
201	6/12/2012	Email from Alex Gerko (GSA) to Ryan Cobb (CME)	Gerko reports to Ryan trading activity in the gold futures market during a bid was placed to create the impression of orderbook imbalance and achieve execution of an offer	DOJ-0017001206	DOJ-0017001206	R. 802 hearsay; R. 401 relevance; R. 403 prejudice, confusion, delay; R. 701 improper lay opinion
202	11/23/2012	Email from Alex Gerko (GSA) to Ryan Cobb (CME)	Gerko sends to Cobb two screenshots of trading activity in the platinum futures market and remarks that the spoofing continues to occur in the market	DOJ-0017000399	DOJ-0017000400	R. 802 hearsay; R. 401 relevance; R. 403 prejudice, confusion, delay; R. 701 improper lay opinion; R. 901 authenticity; R. 1001 best evidence
203	4/22/2013	Email from Alex Gerko (GSA) to Ryan Cobb (CME)	Gerko reports to Cobb that a substantial amount of spoofing occurred that morning in the markets for gold, silver, and copper	DOJ-0016828657	DOJ-0016828657	R. 802 hearsay; R. 401 relevance; R. 403 prejudice, confusion, delay; R. 701 improper lay opinion
204	4/24/2013	Email from Alex Gerko (GSA) to Ryan Cobb (CME)	Gerko sends to Cobb screenshots of trading activity in the gold futures market and comments how it is another example of a spoofing pattern in gold	DOJ-0016828675	DOJ-0016828676	R. 802 hearsay; R. 401 relevance; R. 403 prejudice, confusion, delay; R. 701 improper lay opinion; R. 901 authenticity; R. 1001 best evidence

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
205	5/7/2013	Email from Alex Gerko (GSA) to Ryan Cobb (CME)	Gerko sends to Cobb screenshots of trading activity in the gold and silver futures markets and states that is more the same type of trading activity	DOJ-0017000484	DOJ-0017000486	R. 802 hearsay; R. 401 relevance; R. 403 prejudice, confusion, delay; R. 701 improper lay opinion; R. 901 authenticity; R. 1001 best evidence
206	5/17/2013	Email from Alex Gerko (GSA) to Ryan Cobb (CME)	Gerko sends to Cobb screenshots of trading activity in the gold futures market and remarks that the trading activity started in gold and silver at the same time	DOJ-0017000496	DOJ-0017000497	R. 802 hearsay; R. 401 relevance; R. 403 prejudice, confusion, delay; R. 701 improper lay opinion; R. 901 authenticity; R. 1001 best evidence
207	5/23/2013	Email from Alex Gerko (GSA) to Ryan Cobb (CME)	Gerko sends to Cobb a screenshot of trading activity in the gold futures market and comments about spoofing in the gold market	DOJ-0017000499	DOJ-0017000500	R. 802 hearsay; R. 401 relevance; R. 403 prejudice, confusion, delay; R. 701 improper lay opinion; R. 901 authenticity; R. 1001 best evidence
208	5/23/2013	Email from Alex Gerko (GSA) to Ryan Cobb (CME)	Gerko sends to Cobb screenshots of trading activity in the silver and copper futures markets	DOJ-0016823444	DOJ-0016823445	R. 802 hearsay; R. 401 relevance; R. 403 prejudice, confusion, delay; R. 701 improper lay opinion; R. 901 authenticity; R. 1001 best evidence

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
209	5/24/2013	Email from Alex Gerko (GSA) to Ryan Cobb (CME) & Harriet Hunnable (CME)	Gerko sends to Cobb and Hunnable a screenshot of trading activity from the palladium futures market and comments that manipulation dominates the market and has led to a stop in their palladium trading on CME	DOJ-0017000512	DOJ-0017000512	R. 802 hearsay; R. 401 relevance; R. 403 prejudice, confusion, delay; R. 701 improper lay opinion; R. 901 authenticity; R. 1001 best evidence
210	5/29/2013	Email from Alex Gerko (GSA) to Ryan Cobb (CME)	Gerko sends to Cobb screenshots of trading in multiple futures markets, including gold and platinum, from the prior 1-2 days and remarks that they show a high level of spoofing activity	DOJ-0016823451	DOJ-0016823465	R. 802 hearsay; R. 401 relevance; R. 403 prejudice, confusion, delay; R. 701 improper lay opinion; R. 901 authenticity; R. 1001 best evidence
211	6/4/2013	Email from Alex Gerko (GSA) to Ryan Cobb (CME)	Gerko sends to Cobb two screenshots of trading activity in the gold futures market	DOJ-0016828632	DOJ-0016828633	R. 802 hearsay; R. 401 relevance; R. 403 prejudice, confusion, delay; R. 701 improper lay opinion; R. 901 authenticity; R. 1001 best evidence
212	6/6/2013	Email from Alex Gerko (GSA) to Ryan Cobb (CME)	Gerko sends to Cobb screenshots of trading activity in the gold and silver futures markets and comments that spoofing activity continues in gold and silver	DOJ-0017000557	DOJ-0017000558	R. 802 hearsay; R. 401 relevance; R. 403 prejudice, confusion, delay; R. 701 improper lay opinion; R. 901 authenticity; R. 1001 best evidence

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
213	7/26/2013	Email from Alex Gerko (GSA) to Ryan Cobb (CME)	Gerko sends to Cobb screenshots of trading activity in the gold futures market and remarks that spoofing continues to occur in gold	DOJ-0017000591	DOJ-0017000592	R. 802 hearsay; R. 401 relevance; R. 403 prejudice, confusion, delay; R. 701 improper lay opinion; R. 901 authenticity; R. 1001 best evidence
214	9/16/2013	Email from Alex Gerko (GSA) to Aaron Smith (CME)	Gerko sends to Smith a screenshot of trading activity in the silver futures market and notes it is an example of spoofing that had a negative effect on Gerko's P&L	DOJ-0017000618	DOJ-0017000618	R. 802 hearsay; R. 401 relevance; R. 403 prejudice, confusion, delay; R. 701 improper lay opinion; R. 901 authenticity; R. 1001 best evidence
215	9/26/2013	Email from Alex Gerko (GSA) to Aaron Smith (CME)	Gerko sends to Smith screenshots of trading activity in gold, silver, and copper futures markets and remarks that spoofing is particularly egregious in the gold, silver, and copper markets	DOJ-0017000646	DOJ-0017000648	R. 802 hearsay; R. 401 relevance; R. 403 prejudice, confusion, delay; R. 701 improper lay opinion; R. 901 authenticity; R. 1001 best evidence
216	11/6/2014	Email from Alex Gerko (GSA) to Aaron Smith (CME) & Harriet Hunnable (CME)	Gerko comments to Smith and Hunnable about significant amounts of spoofing in silver	DOJ-0017000994	DOJ-0017000996	R. 802 hearsay; R. 401 relevance; R. 403 prejudice, confusion, delay; R. 701 improper lay opinion; R. 901 authenticity; R. 1001 best evidence

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
217	7/9/2012	CME Memo re: Resolution of Complaint (Comp-12-0819)	CME internal memorandum re: June 12, 2012 complaint filed by A. Gerko that corresponded to G. Smith trading activity	DOJ-0016828330	DOJ-0016828332	R. 802 hearsay; R. 401 relevance; R. 403 prejudice, confusion, delay; R. 404(b) evidence of prior misconduct; R. 701 improper lay opinion
218	6/25/2013	CME Memo re: Closing of Complaint (Comp-13-1264)	CME internal memorandum re: April and May 2013 complaints filed by A. Gerko that corresponded to G. Smith trading activity	DOJ-0016823384	DOJ-0016823385	R. 802 hearsay; R. 401 relevance; R. 403 prejudice, confusion, delay; R. 404(b) evidence of prior misconduct; R. 701 improper lay opinion
219	6/25/2013	CME Memo re: Complaint (Comp-13-1304)	CME internal memorandum re: May 2013 complaint filed by A. Gerko that corresponded to G. Smith trading activity	DOJ-0016823414	DOJ-0016823416	R. 802 hearsay; R. 401 relevance; R. 403 prejudice, confusion, delay; R. 404(b) evidence of prior misconduct; R. 701 improper lay opinion
220	9/11/2013	Letter from E. Furlong (CME) to G. Smith (JPM) c/o R. Howe (JPM)	Letter from E. Furlong to G. Smith requesting interview in connection with CME Market Regulation Dept. inquiry (Case-12-8979)	DOJ-0014780824	DOJ-0014780824	

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
221	10/17/2013	Recording of October 17, 2013 CME interview of G. Smith (audio file)	Smith's statements regarding precious metals trading at JPM	DOJ-0016828341	DOJ-0016828341	R. 802 hearsay; R. 401 relevance; R. 403 prejudice, confusion, delay
222	10/17/2013	Transcript of October 17, 2013 CME interview of Gregg Smith	Smith's statements regarding precious metals trading at JPM	DOJ-0014782274	DOJ-0014782319	R. 802 hearsay; R. 401 relevance; R. 403 prejudice, confusion, delay
223	10/17/2013	October 17, 2013 CME Interview of Gregg Smith - Exhibit 1	G. Smith trading data for 6/26/2013 discussed during October 17, 2013 CME Interview	DOJ-0016828345	DOJ-0016828350	
224	10/17/2013	October 17, 2013 CME Interview of Gregg Smith - Exhibit 2	G. Smith trading data for 7/29/2013 discussed during October 17, 2013 CME interview	DOJ-0016828351	DOJ-0016828360	
225	1/22/2014	Email (incl. attachment) from A. Nakkab to M. Nowak, copying E. Ferrara and R. Wolf	Sending questions from CME directed to Nowak regarding his supervision of Gregg Smith	DOJ-0014808923 DOJ-0014808924	DOJ-0014808923 DOJ-0014808924	
226	1/24/2014	Email (inc. attachment) from M. Nowak to E. Ferrara	Draft responses from M. Nowak to questions from CME regarding supervision of G. Smith	DOJ-0014808925 DOJ-0014808926	DOJ-0014808925 DOJ-0014808927	
227	1/30/2014	Email (incl. attachments) from E. Ferrara (JPM) to E. Furlong (CME, copying R. Wolf (JPM) and A. Nakkab (JPM)	Written responses submitted to CME for questions directed to M. Nowak regarding his supervision of G. Smith	DOJ-0014780513 DOJ-0014780514	DOJ-0014780513 DOJ-0014780515	

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
228	6/1/2015	CME Group Market Regulation Department Investigation Report (Case No. COMEX-12-8979)	CME Market Regulation Dept. findings from its investigation of G. Smith's trading activity that formed basis of the referral to CME's enforcement division	DOJ-0016828370	DOJ-0016828378	R. 401 relevance; R. 403 prejudice, confusion, delay; R. 404(b) evidence of prior misconduct; R. 802 hearsay; R. 701 improper lay opinion
229	6/30/2015	Letter from J. Burke (CME) to S. Marhamati (JPM)	Written notice of the referral of the CME's investigation of G. Smith's trading activity to CME's enforcement division	DOJ-0014778244	DOJ-0014778245	R. 401 relevance; R. 403 prejudice, confusion, delay; R. 404(b) evidence of prior misconduct; R. 802 hearsay
230	6/30/2015	Recorded call between M. Camacho and M. Nowak (audio file)	Call between M. Camacho and M. Nowak regarding CME investigation of G. Smith's trading, including discussion of G. Smith's and M. Simonian's trading styles	DOJ-0021315025	DOJ-0021315025	R. 106 completeness; R. 403 prejudice, confusion, delay
231	6/30/2015	Transcript of recorded call between M. Camacho and M. Nowak	Call between M. Camacho and M. Nowak regarding CME investigation of G. Smith's trading, including discussion of G. Smith's and M. Simonian's trading styles	DOJ-0021260558	DOJ-0021260563	R. 106 completeness; R. 403 prejudice, confusion, delay

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
232	8/13/2015	Email (incl. attachments) from E. Ferrara to E. Wen, R. Mandell, M. Camacho, and M. Nowak	Provides the CME's scenario for a trading pattern that is spoofing or layering, outlines the various types of analysis to conduct on such trading activity, and attaches trade data of G. Smith's trading and exhibits from G. Smith's CME interview	DOJ-0015454966	DOJ-0015454969	R. 802 hearsay; R. 401 relevance
233	Various	Formanik, John IAB Monthly Statements	Victim-witness Interactive Brokers account monthly statements	DOJ-0021397247 DOJ-0021352963 DOJ-0021397273 DOJ-0021353248	DOJ-0021397249 DOJ-0021352974 DOJ-0021397275 DOJ-0021353262	R. 401 relevance; R. 403 prejudice, confusion, delay
234	1/6/2021 & 1/7/2021	Formanik, John IAB Registration Status	Victim-witness Interactive Brokers account registration information	DOJ-0021411930 DOJ-0021412706	DOJ-0021411933 DOJ-0021412708	R. 401 relevance; R. 403 prejudice, confusion, delay
235	1/6/2021 & 1/7/2021	Formanik, John IAB Account Info Summary	Victim-witness Interactive Brokers account information summary	DOJ-0021411913 DOJ-0021412689	DOJ-0021411917 DOJ-0021412692	R. 401 relevance; R. 403 prejudice, confusion, delay
236	Various	Rybalov, Greg IAB Monthly Statements	Victim-witness Interactive Brokers account monthly statements	DOJ-0021343060 DOJ-0021343088 DOJ-0021578304	DOJ-0021343066 DOJ-0021343097 DOJ-0021578370	R. 401 relevance; R. 403 prejudice, confusion, delay
237	4/30/2021	Rybalov, Greg IAB Registration Status	Victim-witness Interactive Brokers account registration information	DOJ-0021414377	DOJ-0021414380	R. 401 relevance; R. 403 prejudice, confusion, delay
238	4/30/2021	Rybalov, Greg IAB Account Info Summary	Victim-witness Interactive Brokers account information summary	DOJ-0021414366	DOJ-0021414370	R. 401 relevance; R. 403 prejudice, confusion, delay
239	Various	Klein, Karl IAB Monthly Statements	Victim-witness Interactive Brokers account monthly statements	DOJ-0021343426 DOJ-0021578288 DOJ-0021578273	DOJ-0021343429 DOJ-0021578303 DOJ-0021578287	R. 401 relevance; R. 403 prejudice, confusion, delay
240	1/6/2021	Klein, Karl IAB Registration Status	Victim-witness Interactive Brokers account registration information	DOJ-0021411426	DOJ-0021411429	R. 401 relevance; R. 403 prejudice, confusion, delay

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
241	1/6/2021	Klein, Karl IAB Account Info Summary	Victim-witness Interactive Brokers account information summary	DOJ-0021411390	DOJ-0021411395	R. 401 relevance; R. 403 prejudice, confusion, delay
242	5/13/2008	Email from M. Nowak to JPMorgan Precious Metals Desk	Email providing recap of trading activity for the JPMorgan precious metals desk, including information about an upcoming barrier option expiration	DOJ-0017392597	DOJ-0017392597	
243	5/27/2008	Extract from JPMorgan order management database	Extract from JPMorgan order management database reflecting precious metals order information for May 26-28, 2008. Column R (Text) includes information about protecting barriers	DOJ-0021414156	DOJ-0021414156	R. 802 hearsay
244	8/19/2008	JPMorgan Bullion Option Transaction Confirmation	Confirmation for August 19, 2008 bullion option transaction (one touch binary option) between JPMorgan and Banca Intermobiliare Di Investimenti e Gestioni SPA ("BIMBank"), with expiration date of November 19, 2008	DOJ-0021202675	DOJ-0021202678	
245	10/22/2008	Bloomberg Chat with F. Amato & R. Eyles	Discussion of trading activity for JPMorgan precious metals desk, including active trading related to an upcoming barrier option expiration	DOJ-0012442122	DOJ-0012442122	R. 802 hearsay
246	10/22/2008	Bloomberg Chat with J. Edmonds & J. Walpole	Discussion of trading activity for JPMorgan precious metals desk, including active trading related to an upcoming barrier option transaction expiration	DOJ-0008988638	DOJ-0008988639	R. 802 hearsay

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
247	10/22/2008	Bloomberg Chat with G. Smith & R. Eyles	Discussion of trading activity in precious metals markets, including G. Smith trading activity related to an upcoming barrier option transaction expiration	DOJ-0003436096	DOJ-0003436097	
248	10/22/2008	Email exchange between M. Nowak, J. Edmonds, and S. Piller	S. Piller email providing recap of trading activity for the JPMorgan precious metals desk, including information about an upcoming barrier option transaction expiration; J. Edmonds and M. Nowak exchange follow up emails re: trading activity related to barrier option expiration	DOJ-0014781748	DOJ-0014781749	
249	11/14/2008	Bloomberg Chat with S. Piller & C. Cattaneo	Discussion of barrier option transaction with BIMBank that was set to expire	DOJ-0017889297	DOJ-0017889311	R. 802 hearsay
250	11/14/2008	Bloomberg Chat with S. Piller & Cattaneo	Discussion of barrier option transaction with BIMBank that expired, including client reaction	DOJ-0021207577	DOJ-0021207591	R. 802 hearsay
251	11/17/2008	Email from M. Nowak to JPMorgan Precious Metals Desk	Email providing recap of trading activity for the JPMorgan precious metals desk, including updates about upcoming barrier option transaction expiration	DOJ-0017393322	DOJ-0017393322	
252	11/18/2008	Email from M. Nowak to JPMorgan Precious Metals Desk	Email providing recap of trading activity for the JPMorgan precious metals desk, including updates about upcoming barrier option transaction expiration	DOJ-0014893972	DOJ-0014893972	

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
253	11/19/2008	Bloomberg Chat with D. Turnbull and J. Smith (Engelhard Metals)	Discussion of trading activity in the precious metals markets, including specific trading recommendation from Turnbull to Smith	DOJ-0009609728	DOJ-0009609777	R. 802 hearsay; R. 401 relevance
254	11/19/2008	Bloomberg Chat with S. Piller & M. Nowak	S. Piller provides M. Nowak information from C. Cattaneo about client reaction to BIMBank barrier option transaction expiration	DOJ-0009267927	DOJ-0009267927	
255	11/19/2008	Bloomberg Chat with M. Nowak, F. Amato & S. Piller	Nowak provides update to Amato re: BIMBank barrier option expiration	DOJ-0016138700	DOJ-0016138701	
256		Intentionally Left Blank				
257	1/30/2009	Bloomberg Chat with J. Edmonds & J. Walpole	Discussion of trading activity in the precious metals markets, and Edmonds response to questions about barrier options	DOJ-0003650445	DOJ-0003650449	R. 802 hearsay; R. 401 relevance
258	2/12/2013	JPMorgan Bullion Option Transaction Confirmation	Confirmation for February 12, 2013 bullion option transaction (at expiry knock-out option) between JPMorgan London Branch and JP Morgan (Suisse) SA, with expiration date of February 13, 2013	DOJ-0021207089	DOJ-0021207093	
259	3/8/2013	Email from M. Nowak to JPMorgan Precious Metals Desk	Email providing recap of trading activity for the JPMorgan precious metals desk, including updates about upcoming barrier option transaction expiration	DOJ-0014781303	DOJ-0014781305	
260	3/11/2013	Bloomberg Chat with J. Ruffo & J. Phelan (Tudor)	Ruffo provides updates on precious metals markets activity	DOJ-0014523780	DOJ-0014523780	R. 401 relevance

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
261	3/11/2013	Electronic Chat with J. Edmonds & G. Padden	Padden provides information on knock-out price for barrier option with upcoming expiration	DOJ-0008329360	DOJ-0008329360	R. 802 hearsay
262	3/11/2013	Bloomberg Chat with 25 internal JPM participants	Hu requests confirmation of LBMA fix price for the day. Piller & Edmonds both confirm the price fixed at 1579 flat	DOJ-0003938692	DOJ-0003938705	
263	11/13/2004	FDIC Certificate for JPMorgan Chase Bank, National Association	Certificate of JPMorgan Chase Bank, N.A.'s FDIC insurance	DOJ-0016828880	DOJ-0016828880	
264	7/3/2019	FDIC Records for JPMorgan Chase Bank, National Association	Information regarding JPMorgan Chase Bank, N.A.'s status as a FDIC-insured entity	DOJ-0016828878	DOJ-0016828879	
265	-	Intentionally Left Blank				
266	-	Intentionally Left Blank				
267	9/29/2020	Deferred Prosecution Agreement in <i>United States v. JPMorgan Chase & Co.</i> , 20-cr-175 (D. Conn.)	Resolution based, in part, on the defendants' precious metals trading activity	DOJ-0021315047	DOJ-0021315133	R. 802 hearsay; R. 403 prejudice, confusion, delay; R. 401 relevance
268	12/13/2018	Extract from JPMorgan's Workforce Analytics Portal	Contains information regarding job titles, reporting lines, and locations for JPMorgan's global precious metals trading personnel	DOJ-0008288891	DOJ-0008288891	
269	11/7/2018	Gregg Smith JPMorgan Human Resources Profile	Contains HR information such as employment history and compensation information	DOJ-0008393457	DOJ-008293465	R. 403 prejudice, confusion, delay (compensation)
270	11/7/2018	Michael Nowak JPMorgan Human Resources Profile	Contains HR information such as employment history and compensation information	DOJ-0008293599	DOJ-0008293610	R. 403 prejudice, confusion, delay (compensation)
271	11/7/2018	Jeffrey Ruffo JPMorgan Human Resources Profile	Contains HR information such as employment history and compensation information	DOJ-0008293789	DOJ-0008293797	R. 403 prejudice, confusion, delay (compensation)

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
272	11/7/2018	Christopher Jordan JPMorgan Human Resources Profile	Contains HR information such as employment history and compensation information	DOJ-0008293545	DOJ-0008293552	R. 403 prejudice, confusion, delay (compensation)
273	11/7/2018	John Edmonds JPMorgan Human Resources Profile	Contains HR information such as employment history and compensation information	DOJ-0008293706	DOJ-0008293715	R. 403 prejudice, confusion, delay (compensation)
274	11/7/2018	Christian Trunz JPMorgan Human Resources Profile	Contains HR information such as employment history and compensation information	DOJ-0008293590	DOJ-0008293598	R. 403 prejudice, confusion, delay (compensation)
275	2010-2011, 2013-2016	Gregg Smith performance reviews	Annual performance reviews while working on JPMorgan's precious metals desk	DOJ-0008293442 DOJ-0008293445 DOJ-0008293447 DOJ-0008293449 DOJ-0008293451 DOJ-0008293453	DOJ-0008293444 DOJ-0008293446 DOJ-0008293448 DOJ-0008293450 DOJ-0008293452 DOJ-0008293454	
276	2010-2016	Michael Nowak performance reviews	Annual performance reviews while working on JPMorgan's precious metals desk	DOJ-0008293611 DOJ-0008293614 DOJ-0008293616 DOJ-0008293620 DOJ-0008293624 DOJ-0008293627 DOJ-0008293631 DOJ-0008293635	DOJ-0008293611 DOJ-0008293615 DOJ-0008293619 DOJ-0008293623 DOJ-0008293626 DOJ-0008293630 DOJ-0008293634 DOJ-0008293638	

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
277	2008-2016	Jeffrey Ruffo performance reviews	Annual performance reviews while working on JPMorgan's precious metals desk	DOJ-0008293798 DOJ-0008293800 DOJ-0008293802 DOJ-0008293804 DOJ-0008293806 DOJ-0008293808 DOJ-0008293811 DOJ-0008293814 DOJ-0008293816 DOJ-0008293818 DOJ-0008293820 DOJ-0008293821 DOJ-0008293823 DOJ-0008293825	DOJ-0008293799 DOJ-0008293801 DOJ-0008293803 DOJ-0008293805 DOJ-0008293807 DOJ-0008293810 DOJ-0008293813 DOJ-0008293815 DOJ-0008293817 DOJ-0008293819 DOJ-0008293820 DOJ-0008293822 DOJ-0008293824 DOJ-0008293826	
278	2008	Christopher Jordan performance review (2008)	Annual performance reviews while working on JPMorgan's precious metals desk	DOJ-0008293553	DOJ-0008293554	
279	2008-2016	John Edmonds performance reviews (2008-2016)	Annual performance reviews while working on JPMorgan's precious metals desk	DOJ-0008293716 DOJ-0008293718 DOJ-0008293720 DOJ-0008293723 DOJ-0008293725 DOJ-0008293728 DOJ-0008293730	DOJ-0008293717 DOJ-0008293719 DOJ-0008293722 DOJ-0008293724 DOJ-0008293727 DOJ-0008293729 DOJ-0008293732	
280	2010-2011, 2013-2016	Christian Trunz performance reviews	Annual performance reviews while working on JPMorgan's precious metals desk	DOJ-0008293570 DOJ-0008293573 DOJ-0008293575 DOJ-0008293578 DOJ-0008293581 DOJ-0008293584	DOJ-0008293572 DOJ-0008293574 DOJ-0008293577 DOJ-0008293580 DOJ-0008293583 DOJ-0008293585	
281	12/2/2008	Email (incl. attachment) from M. Nowak to R. Eyles re: 2008 precious metals trader revenue	Email and Excel file containing P&L information for JPMorgan precious metals traders	DOJ-0014804970 DOJ-0014804971	DOJ-0014804970 DOJ-0014804971	

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
282	12/29/2009	Email (incl. attachment) from M. Nowak to P. Devar re: 2009 precious metals trader revenue	Email from Nowak to Devar attaching updated excel file containing P&L information for JPMorgan precious metals traders and providing updates on changes to the file	DOJ-0014804966 DOJ-0014804967	DOJ-0014804966 DOJ-0014804967	
283	11/13/2014	Email (incl. attachments) from M. Nowak re: 2010-2013 precious metals trader revenue	Email sent by Nowak to himself attaching excel files containing P&L information for JPMorgan precious metals traders for 2010, 2011, 2012, and 2013	DOJ-0014804979 DOJ-0014804980 DOJ-0014804981 DOJ-0014804982 DOJ-0014804983	DOJ-0014804979 DOJ-0014804980 DOJ-0014804981 DOJ-0014804982 DOJ-0014804983	
284	1/6/2015	Email (incl. attachment) from M. Nowak to C. Cattle re: 2014 precious metals trader revenue	Email sent by Nowak to Cattle attaching excel file containing P&L information for JPMorgan precious metals traders for 2014	DOJ-0014809152 DOJ-0014809153	DOJ-0014809152 DOJ-0014809153	
285	1/5/2016	Email (incl. attachment) from M. Nowak to C. Cattle re: 2015 precious metals trader revenue	Email sent by Nowak to Cattle attaching excel file containing P&L information for JPMorgan precious metals traders for 2015	DOJ-0014804972 DOJ-0014804973	DOJ-0014804972 DOJ-0014804973	
286	1/3/2017	Email (incl. attachment) from M. Nowak to J. Katz, copying M. Amlin re: 2016 precious metals trader revenue	Email sent by Nowak to Katz and Amlin attaching excel file containing P&L information for JPMorgan precious metals traders for 2016	DOJ-0014804961 DOJ-0014804963	DOJ-0014804962 DOJ-0014804963	
287	12/31/2008	Email (incl. attachments) from K. Arslan to JPMorgan precious metals desk personnel re: consolidated 2008 P&L	Email sent to JPMorgan precious metals desk personnel attaching excel files containing the consolidated desk P&L for 2008	DOJ-0014800883 DOJ-0014800885 DOJ-0014800886 DOJ-0014800887	DOJ-0014800884 DOJ-0014800885 DOJ-0014800886 DOJ-0014800887	
288	12/31/2009	Email (incl. attachments) from Y. Zhao to JPMorgan precious metals desk personnel re: consolidated 2009 P&L	Email sent to JPMorgan precious metals desk personnel attaching excel files containing the consolidated desk P&L for 2009	DOJ-0014790171 DOJ-0014790173 DOJ-0014790174 DOJ-0014790175	DOJ-0014790172 DOJ-0014790173 DOJ-0014790174 DOJ-0014790175	

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
289	12/31/2010	Email (incl. attachments) from K. Arslan to JPMorgan precious metals desk personnel re: consolidated 2010 P&L	Email sent to JPMorgan precious metals desk personnel attaching excel files containing the consolidated desk P&L for 2010	DOJ-0014802469 DOJ-0014802471 DOJ-0014802472 DOJ-0014802473	DOJ-0014802470 DOJ-0014802471 DOJ-0014802472 DOJ-0014802473	
290	12/30/2011	Email (incl. attachments) from C. Tang to JPMorgan precious metals desk personnel re: consolidated 2011 P&L	Email sent to JPMorgan precious metals desk personnel attaching excel files containing the consolidated desk P&L for 2011	DOJ-0014800525 DOJ-0014800527 DOJ-0014800528 DOJ-0014800529	DOJ-0014800526 DOJ-0014800528 DOJ-0014800528 DOJ-0014800529	
291	12/31/2012	Email (incl. attachments) from C. Tang to JPMorgan precious metals desk personnel re: consolidated 2012 P&L	Email sent to JPMorgan precious metals desk personnel attaching excel files containing the consolidated desk P&L for 2012	DOJ-0014799243 DOJ-0014799245 DOJ-0014799246 DOJ-0014799247	DOJ-0014799244 DOJ-0014799245 DOJ-0014799246 DOJ-0014799247	
292	12/31/2013	Email (incl. attachments) from C. Tang to JPMorgan precious metals desk personnel re: consolidated 2013 P&L	Email sent to JPMorgan precious metals desk personnel attaching excel files containing the consolidated desk P&L for 2013	DOJ-0014790935 DOJ-0014790937 DOJ-0014790938 DOJ-0014790939 DOJ-0014790940 DOJ-0014790941	DOJ-0014790936 DOJ-0014790937 DOJ-0014790938 DOJ-0014790939 DOJ-0014790940 DOJ-0014790941	
293	12/31/2014	Email (incl. attachments) from M. Smith to JPMorgan precious metals desk personnel re: consolidated 2014 P&L	Email sent to JPMorgan precious metals desk personnel attaching excel files containing the consolidated desk P&L for 2014	DOJ-0014795884 DOJ-0014795886 DOJ-0014795887 DOJ-0014795888 DOJ-0014795889 DOJ-0014795890 DOJ-0014795891	DOJ-0014795885 DOJ-0014795886 DOJ-0014795887 DOJ-0014795888 DOJ-0014795889 DOJ-0014795890 DOJ-0014795891	

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
294	12/31/2015	Email (incl. attachments) from C. Tang to JPMorgan precious metals desk personnel re: consolidated 2015 P&L	Email sent to JPMorgan precious metals desk personnel attaching excel files containing the consolidated desk P&L for 2015	DOJ-0014797412 DOJ-0014797414 DOJ-0014797415 DOJ-0014797416 DOJ-0014797417 DOJ-0014797418 DOJ-0014797419	DOJ-0014797413 DOJ-0014797414 DOJ-0014797415 DOJ-0014797416 DOJ-0014797417 DOJ-0014797418 DOJ-0014797419	
295	12/30/2016	Email (inc. attachments) from N. Patel to JPMorgan precious metals desk personnel re: consolidated 2016 P&L	Email sent to JPMorgan precious metals desk personnel attaching excel files containing the consolidated desk P&L for 2016	DOJ-0014802867 DOJ-0014802871 DOJ-0014802872 DOJ-0014802873 DOJ-0014802874	DOJ-0014802870 DOJ-0014802871 DOJ-0014802872 DOJ-0014802873 DOJ-0014802874	
296	11/13/2012	Bloomberg Chat with M. Nowak and S. Piller	Discussion re: Piller's P&L for the year and impact on compensation. Nowak notes that P&L will limit both of them for the year.	DOJ-0009272769	DOJ-0009272771	
297	10/29/2013	Bloomberg Chat with M. Nowak and J. Ruffo	Nowak requests information from Ruffo re: his P&L for the year, Ruffo responds, and Nowak updates him on outcomes from evaluation committee meeting	DOJ-0006386337	DOJ-0006386339	
298	5/15/2013	Bloomberg Chat with M. Nowak and S. Piller	Discussion of trading activity in precious metals markets and updates on JPMorgan precious metals desk trading activity. Piller asks Nowak if he made clear to another precious metals trader that one of the global desk books will directly impact his renumeration.	DOJ-0006338906	DOJ-0006338913	

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
299	12/3/2015	Email from M. Nowak to S. Tipples re: global commodities P&L	Nowak emails Tipples re: P&L data for Q4 2015, noting that the precious metals desk made up 75% of Q4 revenue for the global commodities line of business	DOJ-0015846321	DOJ-0015846322	
300	2011	Gregg Smith 2011 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295841	DOJ-0011295841	R. 401 relevance; R. 403 prejudice, confusion, delay
301	2012	Gregg Smith 2012 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295842	DOJ-0011295842	R. 401 relevance; R. 403 prejudice, confusion, delay
302	2013	Gregg Smith 2013 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295843	DOJ-0011295843	R. 401 relevance; R. 403 prejudice, confusion, delay
303	2014	Gregg Smith 2014 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295844	DOJ-0011295844	R. 401 relevance; R. 403 prejudice, confusion, delay
304	2015	Gregg Smith 2015 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295845	DOJ-0011295845	R. 401 relevance; R. 403 prejudice, confusion, delay
305	2016	Gregg Smith 2016 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295846	DOJ-0011295846	R. 401 relevance; R. 403 prejudice, confusion, delay
306	2017	Gregg Smith 2017 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295847	DOJ-0011295847	R. 401 relevance; R. 403 prejudice, confusion, delay
307	2007-2019	Gregg Smith Equity Incentives Compensation	Equity (restricted stock units) compensation information	DOJ-0014811561	DOJ-0014811561	R. 401 relevance; R. 403 prejudice, confusion, delay
308	2011	Michael Nowak 2011 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295816	DOJ-0011295816	R. 401 relevance; R. 403 prejudice, confusion, delay

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
309	2012	Michael Nowak 2012 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295817	DOJ-0011295817	R. 401 relevance; R. 403 prejudice, confusion, delay
310	2013	Michael Nowak 2013 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295818	DOJ-0011295818	R. 401 relevance; R. 403 prejudice, confusion, delay
311	2014	Michael Nowak 2014 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0014804990	DOJ-0014804990	R. 401 relevance; R. 403 prejudice, confusion, delay
312	2015	Michael Nowak 2015 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295819	DOJ-0011295820	R. 401 relevance; R. 403 prejudice, confusion, delay
313	2016	Michael Nowak 2016 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295821	DOJ-0011295821	R. 401 relevance; R. 403 prejudice, confusion, delay
314	2017	Michael Nowak 2017 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295822	DOJ-0011295822	R. 401 relevance; R. 403 prejudice, confusion, delay
315	2002-2019	Michael Nowak Equity Incentives Compensation	Equity (restricted stock units) compensation information	DOJ-0014811557	DOJ-0014811558	R. 401 relevance; R. 403 prejudice, confusion, delay
316	2011	Jeffrey Ruffo 2011 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295851	DOJ-0011295851	R. 401 relevance; R. 403 prejudice, confusion, delay
317	2012	Jeffrey Ruffo 2012 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295852	DOJ-0011295852	R. 401 relevance; R. 403 prejudice, confusion, delay
318	2013	Jeffrey Ruffo 2013 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295853	DOJ-0011295853	R. 401 relevance; R. 403 prejudice, confusion, delay
319	2014	Jeffrey Ruffo 2014 Annual Compensation Summary	Salary compensation information	DOJ-0011295854	DOJ-0011295854	R. 401 relevance; R. 403 prejudice, confusion, delay

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
320	2015	Jeffrey Ruffo 2015 Annual Compensation Summary	Salary compensation information	DOJ-0011295855	DOJ-0011295855	R. 401 relevance; R. 403 prejudice, confusion, delay
321	2016	Jeffrey Ruffo 2016 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295856	DOJ-0011295856	R. 401 relevance; R. 403 prejudice, confusion, delay
322	2011	John Edmonds 2011 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295810	DOJ-0011295810	R. 401 relevance; R. 403 prejudice, confusion, delay
323	2012	John Edmonds 2012 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295811	DOJ-0011295811	R. 401 relevance; R. 403 prejudice, confusion, delay
324	2013	John Edmonds 2013 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295812	DOJ-0011295812	R. 401 relevance; R. 403 prejudice, confusion, delay
325	2014	John Edmonds 2014 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295813	DOJ-0011295813	R. 401 relevance; R. 403 prejudice, confusion, delay
326	2015	John Edmonds 2015 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295814	DOJ-0011295814	R. 401 relevance; R. 403 prejudice, confusion, delay
327	2016	John Edmonds 2016 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295815	DOJ-0011295815	R. 401 relevance; R. 403 prejudice, confusion, delay
328	2011	Christian Trunz 2011 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295829	DOJ-0011295829	R. 401 relevance; R. 403 prejudice, confusion, delay
329	2012	Christian Trunz 2012 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295830	DOJ-0011295830	R. 401 relevance; R. 403 prejudice, confusion, delay
330	2013	Christian Trunz 2013 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295831	DOJ-0011295831	R. 401 relevance; R. 403 prejudice, confusion, delay

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
331	2014	Christian Trunz 2014 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295832	DOJ-0011295832	R. 401 relevance; R. 403 prejudice, confusion, delay
332	2015	Christian Trunz 2015 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295833	DOJ-0011295833	R. 401 relevance; R. 403 prejudice, confusion, delay
333	2016	Christian Trunz 2016 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295834	DOJ-0011295834	R. 401 relevance; R. 403 prejudice, confusion, delay
334	2017	Christian Trunz 2017 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295835	DOJ-0011295835	R. 401 relevance; R. 403 prejudice, confusion, delay
335	2002-2019	Christian Trunz Equity Incentives Compensation	Equity (restricted stock units) compensation information	DOJ-0014811562	DOJ-0014811562	R. 401 relevance; R. 403 prejudice, confusion, delay
336	2004-2014	Michel Simonian JPMorgan Human Resources Profile	Contains HR information such as employment history and compensation information	DOJ-0008293685	DOJ-0008293694	R. 401 relevance; R. 403 prejudice, confusion, delay
337	2011	Michel Simonian 2011 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295864	DOJ-0011295864	R. 401 relevance; R. 403 prejudice, confusion, delay
338	2012	Michel Simonian 2012 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295865	DOJ-0011295865	R. 401 relevance; R. 403 prejudice, confusion, delay
339	2013	Michel Simonian 2013 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295866	DOJ-0011295866	R. 401 relevance; R. 403 prejudice, confusion, delay
340	2005-2014	Michel Simonian Cash and Equity Incentives Compensation	Cash and equity (restricted stock units) compensation information	DOJ-0014804986	DOJ-0014804987	R. 401 relevance; R. 403 prejudice, confusion, delay
341	2005-2018	Donald Turnbull JPMorgan Human Resources Profile	Contains HR information such as employment history and compensation information	DOJ-0008293753	DOJ-0008293762	R. 401 relevance; R. 403 prejudice, confusion, delay

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
342	2011	Donald Turnbull 2011 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295823	DOJ-0011295823	R. 401 relevance; R. 403 prejudice, confusion, delay
343	2012	Donald Turnbull 2012 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295824	DOJ-0011295824	R. 401 relevance; R. 403 prejudice, confusion, delay
344	2013	Donald Turnbull 2013 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295825	DOJ-0011295825	R. 401 relevance; R. 403 prejudice, confusion, delay
345	2015	Donald Turnbull 2015 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295826	DOJ-0011295826	R. 401 relevance; R. 403 prejudice, confusion, delay
346	2016	Donald Turnbull 2016 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295827	DOJ-0011295827	R. 401 relevance; R. 403 prejudice, confusion, delay
347	2017	Donald Turnbull 2017 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0011295828	DOJ-0011295828	R. 401 relevance; R. 403 prejudice, confusion, delay
348	2009-2019	Donald Turnbull Equity Incentives Compensation	Equity (restricted stock units) compensation information	DOJ-0014811563	DOJ-0014811563	R. 401 relevance; R. 403 prejudice, confusion, delay
349	2003-2017	Stuart Piller JPMorgan Human Resources Profile	Contains HR information such as employment history and compensation information	DOJ-0014053676	DOJ-0014053683	R. 401 relevance; R. 403 prejudice, confusion, delay
350	2011	Stuart Piller 2011 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0014053962	DOJ-0014053962	R. 401 relevance; R. 403 prejudice, confusion, delay
351	2012	Stuart Piller 2012 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0014053963	DOJ-0014053963	R. 401 relevance; R. 403 prejudice, confusion, delay
352	2013	Stuart Piller 2013 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0014053964	DOJ-0014053964	R. 401 relevance; R. 403 prejudice, confusion, delay

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
353	2014	Stuart Piller 2014 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0014053965	DOJ-0014053966	R. 401 relevance; R. 403 prejudice, confusion, delay
354	2015	Stuart Piller 2015 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0014053967	DOJ-0014053968	R. 401 relevance; R. 403 prejudice, confusion, delay
355	2016	Stuart Piller 2016 Annual Compensation Summary	Salary, incentive, and other compensation information	DOJ-0014053969	DOJ-0014053969	R. 401 relevance; R. 403 prejudice, confusion, delay
356	2004-2017	Stuart Piller Cash and Equity Incentives Compensation	Cash and equity (restricted stock units) compensation information	DOJ-0014804988	DOJ-0014804989	R. 401 relevance; R. 403 prejudice, confusion, delay
357	-	Intentionally Left Blank				
358	-	Intentionally Left Blank				
359	-	Intentionally Left Blank				
360	-	Intentionally Left Blank				
361	-	Intentionally Left Blank				
362	-	Intentionally Left Blank				
363	-	Intentionally Left Blank				
364	-	Intentionally Left Blank				
365	3/29/2016	2015 Swap Dealer Annual Compliance Report for J.P. Morgan Ventures Energy Corp. ("JPMVEC")	Signed by M. Nowak as Chief Executive Officer of JPMVEC, and contains org chart showing M. Nowak as CEO of JPMVEC and Global Head of Precious and Base Metals Trading	DOJ-0014774451	DOJ-0014774594	R. 401 relevance

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
366	9/14/2010	CME Group COMEX Exemption Approval Application	Contains a list of Tag50s used by certain traders on JPMorgan's precious metals desk, a description of the hierarchy on the desk, and a description of JPMorgan's precious metals business, and is signed by M. Nowak	DOJ-0019999990	DOJ-0019999995	
367	5/19/2011	NYMEX Exemption Approval Application	Contains a list of Tag50s used by certain traders on JPMorgan's precious metals desk, a description of the hierarchy on the desk, and a description of JPMorgan's precious metals business, and is signed by M. Nowak	DOJ-0019999980	DOJ-0019999988	
368	7/30/2013	CME Group NYMEX Application to Exceed Position Limits	Contains a description of JPMorgan's precious metals business, and is signed by M. Nowak	DOJ-0020000004	DOJ-0020000008	R. 401 relevance
369	8/3/2010	Transcript of CFTC Deposition of Michael Nowak (Vol. 1) pages 1-6, 16-19, 20-25, 28, 33-35, 46-48, 50-53, 57, 72-73, 83-84, 106-107, 219-220	Nowak's statements regarding precious metals trading at JPMorgan	DOJ-0021206303	DOJ-0021206398	See Appendix A
370	8/4/2010	Transcript of CFTC Deposition of Michael Nowak (Vol. 2) pages 265, 347, 360, 381-385, 397, 440-442	Nowak's statements regarding precious metals trading at JPMorgan	DOJ-0021206399	DOJ-0021206477	See Appendix A
371	9/15/2010	Transcript of CFTC Deposition of Christopher Jordan (Vol. 1) pages 1-8	Jordan's statements regarding precious metals trading at JPMorgan	DOJ-0008239385	DOJ-0008239673	R. 802 hearsay; R. 403 prejudice, confusion, delay
372	9/16/2010	Transcript of CFTC Deposition of Christopher Jordan (Vol. 2) pages 1-4, 151-157	Jordan's statements regarding trading activity at JPMorgan	DOJ-0008239769	DOJ-0008239960	See Appendix A

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
373	2/17/2017	Transcript of CFTC Deposition of Gregg Smith pages 1-4, 29, 62-63, 135, 162-166	Smith's statements regarding precious metals trading at JPMorgan	DOJ-0008247576	DOJ-0008247826	<i>See Appendix A</i>
374	12/19/2017	Transcript of Deposition of Christian Trunz in <i>Shak v. J.P. Morgan Chase & Co.</i> , 15 Civ. 994 (S.D.N.Y.) pages 36, 51, 209-10, 213	Trunz's statements regarding precious metals trading at JPMorgan	DOJ-0016991981	DOJ-0016992231	R. 802 hearsay
375	11/15/2017	Transcript of Deposition of Gregg Smith in <i>Shak v. J.P. Morgan Chase & Co.</i> , 15 Civ. 994 (S.D.N.Y.) pages 96-98, 139, 150-153, 247-248, 252	Smith's statements regarding precious metals trading at JPMorgan	DOJ-0016994479	DOJ-0016994781	<i>See Appendix A</i>
376	10/25/2017	Transcript of Deposition of Michael Nowak in <i>Shak v. J.P. Morgan Chase & Co.</i> , 15 Civ. 994 (S.D.N.Y.) (no designations at this time)	Nowak's statements regarding precious metals trading at JPMorgan	DOJ-0016997076	DOJ-0016997355	Objections reserved pending receipt of the government's transcript designations
377	4/29/2010	CFTC Press Release, "Hedge Fund Moore Capital Management, LP, and Its Affiliates Moore Capital Advisors, LLC and Moore Advisors, Ltd., Ordered to Pay a \$25 Million Penalty to Settle CFTC Charges of Attempted Manipulation of Platinum and Palladium Futures Settlement Prices"	Settling the CFTC's investigation into Moore Capital for attempted price manipulation of platinum and palladium futures prices	DOJ-0021578269	DOJ-0021578270	R. 401 relevance; R. 403 prejudice, confusion, delay

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
378	8/20/2010	Email from J. Ruffo to G. Smith & R. Gottlieb	Contains a WSJ article regarding the CFTC's \$25 million settlement with Moore Capital and the CFTC's continuing investigation of Chris Pia (Moore Capital) for improperly trying to push up platinum and palladium prices	DOJ-0017144502	DOJ-0017144505	R. 401 relevance; R. 403 prejudice, confusion, delay
379	7/25/2011	Email from A. Nakkab to J. Ruffo, M. Nowak, G. Smith, P. Sellars, M. Camacho & E. Ferrara	Forwarding an email from the CFTC announcing that Chris Pia (Moore Capital) was settling the CFTC's investigation into attempted manipulation of platinum and palladium prices	DOJ-0021413644	DOJ-0021413644	R. 401 relevance; R. 403 prejudice, confusion, delay
380	7/25/2011	CFTC Press Release	Full CFTC press release announcing resolution of its investigation into Chris Pia (Moore Capital) for attempted manipulation of platinum and palladium prices	DOJ-0021578271	DOJ-0021578272	R. 401 relevance; R. 403 prejudice, confusion, delay
381	-	Intentionally Left Blank				
382	-	Intentionally Left Blank				
383	6/24/2008	Email from Diana Mungo to Michael Nowak and others	Contains seating chart information for JPMorgan's precious metals desk in New York	DOJ-0021414147 DOJ-0021414148	DOJ-0021414147 DOJ-0021414148	
384	3/30/2009	Email from Diana Mungo to Michael Nowak and others	Contains seating chart information for JPMorgan's precious metals desk in New York	DOJ-0015379269 DOJ-0015379270	DOJ-0015379269 DOJ-0015379270	
385	5/14/2009	Email from Diana Mungo to Michael Nowak and others	Contains seating chart information for JPMorgan's precious metals desk in New York	DOJ-0015380528 DOJ-0015380529	DOJ-0015380528 DOJ-0015380529	

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
386	6/11/2009	Email from Diana Mungo to Michael Nowak and others	Contains seating chart information for JPMorgan's precious metals desk in New York	DOJ-0021414145 DOJ-0021414146	DOJ-0021414145 DOJ-0021414146	
387	8/23/2010	Email from Diana Mungo to Commodities NYC	Contains seating chart information for JPMorgan's precious metals desk in New York	DOJ-0015797546 DOJ-0015797547	DOJ-0015797546 DOJ-0015797547	
388	6/13/2011	Email from Diana Mungo to Commodities NYC	Contains seating chart information for JPMorgan's precious metals desk in New York	DOJ-0015250639 DOJ-0015250640	DOJ-0015250639 DOJ-0015250640	
389	6/1/2012	Email from Diana Mungo to Commodities NYC	Contains seating chart information for JPMorgan's precious metals desk in New York	DOJ-0015267808 DOJ-0015267809	DOJ-0015267808 DOJ-0015267809	
390	2013	Excel file, "10 383 Seating 2013 Master.xls"	Contains seating chart information for JPMorgan's precious metals desk in New York	DOJ-0014778227	DOJ-0014778227	
391	2014	Excel file, "383 10 FI 28 Dec 2014.xls"	Contains seating chart information for JPMorgan's precious metals desk in New York	DOJ-0014778235	DOJ-0014778235	
392	3/12/2015	Email from Mark Amlin to Eugene Ferrara, et al	Contains seating chart information for JPMorgan's precious metals desk in New York	DOJ-0014805684 DOJ-0014805685	DOJ-0014805684 DOJ-0014805685	
393	5/20/2015	Email from Mark Amlin to Brenda Pelicot-Ortiz and others	Contains seating chart information for JPMorgan's precious metals desk in New York	DOJ-0014805718 DOJ-0014805719	DOJ-0014805718 DOJ-0014805719	

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
394	12/14/2015	Email from Mark Amlin to Donald Turnbull and others	Contains seating chart information for JPMorgan's precious metals desk in New York	DOJ-0016070605 DOJ-0016070607	DOJ-0016070606 DOJ-0016070607	
395	8/3/2010	Exhibit 2 from 8/3/2010 CFTC Deposition of Michael Nowak	M. Nowak's sketch of the seating configuration in 2010 at JPMorgan's New York office	DOJ-0021206486	DOJ-0021206487	
396	-	Photos of JPMorgan's precious metals desk on the trading floor at its offices in New York	Shows physical layout of the trading desk	DOJ-0014773201	DOJ-0014773203	
397	-	Intentionally Left Blank				
398	-	Intentionally Left Blank				
399	-	Intentionally Left Blank				
400	Jan. 2008 - April 2010	Trade blotter data from JPM's Murex system	Order information for the relevant time period	DOJ-0021509988	DOJ-0021509997	
401	2010-2011	Trade blotter data from JPM's Athena system	Order information for the relevant time period	DOJ-0021550555	DOJ-0021550578	
402	2012	Trade blotter data from JPM's Athena system	Order information for the relevant time period	DOJ-0021550543	DOJ-0021550554	
403	2013	Trade blotter data from JPM's Athena system	Order information for the relevant time period	DOJ-0021509998	DOJ-0021510009	
404	2014	Trade blotter data from JPM's Athena system	Order information for the relevant time period	DOJ-0021550579 DOJ-0021561868	DOJ-0021550589 DOJ-0021561868	
405	2015	Trade blotter data from JPM's Athena system	Order information for the relevant time period	DOJ-0021550590 DOJ-0021561869	DOJ-0021550599 DOJ-0021561872	
406	2016	Trade blotter data from JPM's Athena system	Order information for the relevant time period	DOJ-0021550600	DOJ-0021550633	

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
407	2008-2016	Hard Drive with COMEX and NYMEX Order Book ("Rapid") and Market Depth ("Armada") Data for Gold, Silver, Platinum, and Palladium Futures Contracts	Full market trading data from COMEX and NYMEX for precious metals futures contracts	DOJ-0016819993 DOJ-0016819994 DOJ-0016819995 DOJ-0016819996 DOJ-0016819997 DOJ-0016819998	DOJ-0016819993 DOJ-0016819994 DOJ-0016819995 DOJ-0016819996 DOJ-0016819997 DOJ-0016819998	
408	-	CME Rule 432	CME Rule prohibiting certain offenses and covering disruptive trading practices that were later prohibited specifically by Rule 575	DOJ-0021577447	DOJ-0021577466	
409	9/15/2014	CME Market Regulation Advisory Notice - Rule 575 Disruptive Practices Prohibited	CME advisory notice describing new CME Rule 575 that prohibits certain disruptive trading practices and notes that such practices have historically been prohibited by Rule 432	DOJ-0021577436	DOJ-0021577446	R. 403 prejudice, confusion, delay
410	2008-2018	Organizational Charts & Job Title Hierarchy for JPMorgan Precious Metals Desk (2008 - 2018)	Chart summarizing JPMC-PM-00000001			Objections reserved pending receipt of exhibit
411	2008-2016	JPMorgan Precious Metals Trader/Salesperson Location Chart (2008-2016)	Chart summarizing GX 268 - 274			Objections reserved pending receipt of exhibit
412	2008-2015	Seating Chart for JPMorgan Precious Metals Desk in New York (2008 - 2015)	Chart summarizing GX 383 - 394			Objections reserved pending receipt of exhibit
413	2008-2016	Annual Profit & Loss by Trader on JPMorgan Precious Metals Desk (2008 - 2016)	Chart summarizing GX 281 - 295			Objections reserved pending receipt of exhibit
414	2008-2016	Annual Compensation for Members of the JPMorgan Precious Metals Desk (2008 - 2016)	Chart summarizing GX 300 - 356			Objections reserved pending receipt of exhibit

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
415	2008-2016	Top 5 JPMorgan Precious Metals Clients by AFR per Year (2008 - 2016)	Chart summarizing GX 126 - 130			Objections reserved pending receipt of exhibit
416	2008-2016	Jeffrey Ruffo Yearly Precious Metals AFR (2008-2016)	Chart summarizing GX 126 - 130			Objections reserved pending receipt of exhibit
417	Various	Compliance Training Attendance Summary	Chart summarizing GX 173, 428 - 443			Objections reserved pending receipt of exhibit
418	-	Intentionally Left Blank				
419	-	Intentionally Left Blank				
420	-	Intentionally Left Blank				
421	-	Nowak Journal (Hard Copy)	Handwritten notes from Michael Nowak regarding members of JPMorgan's precious metals desk	DOJ-0021626587	DOJ-0021626892	R. 401 relevance; R. 403 prejudice, confusion, delay
422	-	Nowak Journal (Hard Copy)	Handwritten notes from Michael Nowak regarding members of JPMorgan's precious metals desk	DOJ-0021626893	DOJ-0021627174	R. 401 relevance; R. 403 prejudice, confusion, delay
423	-	Nowak Hard Copy Document	Handwritten notes from Michael Nowak regarding members of JPMorgan's precious metals desk	DOJ-0021628263	DOJ-0021628263	R. 401 relevance; R. 403 prejudice, confusion, delay
424	-	Nowak Hard Copy Document	Handwritten notes from Michael Nowak regarding members of JPMorgan's precious metals desk	DOJ-0021628270	DOJ-0021628270	R. 401 relevance; R. 403 prejudice, confusion, delay
425	11/19/2008	Recording of a phone call between Claudia Cattaneo & Luisa Graziani	Discussion related to a barrier option between JPMorgan and BIMBank	DOJ-0021628952	DOJ-0021628952	R. 802 hearsay

United States' Amended Exhibit List

No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
426	11/19/2008	English-language translation and transcript of a phone call between Claudia Cattaneo & Luisa Graziani	Discussion related to a barrier option between JPMorgan and BIMBank			R. 802 hearsay
427	10/9/2018	Information, <i>United States v. Edmonds</i> (D. Conn.)	Information filed in connection with John Edmonds' guilty plea			R. 401 relevance; R. 403 prejudice, confusion, delay; R. 802 hearsay
428	10/14/2014	Market Abuse and Information Barriers 2014 Email Invite	Email invitation for a compliance training	DOJ-0015638423	DOJ-0015638424	R. 401 relevance; R. 403 prejudice, confusion, delay
429	11/21/2013	Global Commodities Group Annual Compliance Training 2013 Sign-In Sheet	Sign-in sheet for a compliance training	DOJ-0021207635	DOJ-0021207639	R. 401 relevance; R. 403 prejudice, confusion, delay
430	12/12/2013	Core Policies and Principles for CIB Markets - Trading Sign-In Sheet	Sign-in sheet for a compliance training	DOJ-0021207640	DOJ-0021207641	R. 401 relevance; R. 403 prejudice, confusion, delay
431	1/25/2010	Compliance Education Global Commodities Group North America Sign-In Sheet	Sign-in sheet for a compliance training	DOJ-0021207675	DOJ-0021207675	R. 401 relevance; R. 403 prejudice, confusion, delay
432	11/13/2012	Global Commodities Group Annual Compliance Training 2012 Sign-In Sheet	Sign-in sheet for a compliance training	DOJ-0021207692	DOJ-0021207692	R. 401 relevance; R. 403 prejudice, confusion, delay
433	11/13/2012	Global Commodities Group Annual Compliance Training 2012 Attendance Sheet	Attendance sheet for a compliance training	DOJ-0021207693	DOJ-0021207698	R. 401 relevance; R. 403 prejudice, confusion, delay
434	11/3/2014	Global Commodities Group Annual Compliance Training 2014 Attendance Sheet	Attendance sheet for a compliance training	DOJ-0021207789	DOJ-0021207794	R. 401 relevance; R. 403 prejudice, confusion, delay
435	11/29/2011	Annual Compliance Training 2011 - Makeup Session Attendance Sheet	Attendance sheet for a compliance training	DOJ-0021207842	DOJ-0021207846	R. 401 relevance; R. 403 prejudice, confusion, delay

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
436	1/20/2010	Edmonds Accepts Email Invite to Compliance Education Global Commodities Group North America Training	Email invitation acceptance for a compliance training	DOJ-0021611765	DOJ-0021611765	
437	11/29/2011	Calendar Invite to Smith for Annual Compliance Training 2011 - Makeup Session	Email invitation for a compliance training	DOJ-0021611766	DOJ-0021611767	
438	11/9/2011	Calendar Invite to Ruffo for Annual Compliance Training 2011	Email invitation for a compliance training	DOJ-0021611769	DOJ-0021611770	
439	10/13/2014	Calendar Invite for Global Commodities Group Annual Compliance Training 2014	Email invitation for a compliance training	DOJ-0021611874	DOJ-0021611876	
440	10/14/2014	Calendar Invite for Market Abuse and Information Barriers Training 2014	Email invitation for a compliance training	DOJ-0021611992	DOJ-0021611992	R. 401 relevance; R. 403 prejudice, confusion, delay
441	12/10/2012	Training Completion Confirmation for Dodd-Frank Go Live Instructor-Led Training	Compliance training completion list	DOJ-0021612003	DOJ-0021612003	R. 401 relevance; R. 403 prejudice, confusion, delay
442	1/27/2014	Core Policies and Principles for CIB Markets - Trading Sign-In Sheet	Sign-in sheet for a compliance training	DOJ-0021612005	DOJ-0021612005	R. 401 relevance; R. 403 prejudice, confusion, delay
443	4/29/2010	Email between M. Nowak & B. Masters	Discussion of CFTC fine of Moore Capital for attempted manipulation of platinum and palladium futures prices	DOJ-0021622163	DOJ-0021622163	R. 401 relevance; R. 403 prejudice, confusion, delay
444	4/30/2010	Email between from M. Camacho to S. Karnik, M. Christ, M. Nowak, M. Bressler, B. Masters, K. Roberts & A. Nakkab	Discussion of CFTC settlement with Moore Capital regarding manipulation of platinum and palladium futures prices	DOJ-0021624591	DOJ-0021624593	R. 401 relevance; R. 403 prejudice, confusion, delay
445	-	Intentionally Left Blank				
446	-	Intentionally Left Blank				
447	-	Intentionally Left Blank				

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
448	6/9/2009	GSMITH Episode Tutorial	Demonstrative exhibit providing an overview of the government's trading sequence charts			Objections reserved pending receipt of exhibit
449	6/7/2012	MNOWAK Episode Tutorial	Demonstrative exhibit providing an overview of the government's trading sequence charts			Objections reserved pending receipt of exhibit
450	Various	100 Gregg Smith Trading Sequences (BSNGSMITH; GSMITH)	Charts showing trading sequences previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit
451	Various	100 Michael Nowak Trading Sequences (MNOWAK)	Charts showing trading sequences previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit
452	Various	30 Christopher Jordan Trading Sequences (CJORDAN)	Charts showing trading sequences previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit
453	Various	40 John Edmonds Trading Sequences (JEDMONDS)	Charts showing trading sequences previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit
454	Various	55 Christian Trunz Trading Sequences (BSNCTRUNZ; CRTUNZ)	Charts showing trading sequences previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
455	Various	15 Michel Simonian Trading Sequences (MSIMONIAN)	Charts showing trading sequences previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit
456	Various	4 Stuart Piller Trading Sequences (SPILLER)	Charts showing trading sequences previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit
457	Various	5 Donald Turnbull Trading Sequences (DTURNBULL)	Charts showing trading sequences previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit
458	Various	25 Corey Flaum Trading Sequences (BSNCFLAUM, CFLAUM, CCCFLAUM)	Charts showing trading sequences previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit
459	Various	3 Karl Klein Trading Sequences (ZC110515)	Charts showing trading sequences previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit
460	Various	2 John Formanik Trading Sequences (ZC314734)	Charts showing trading sequences previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
461	Various	5 Greg Rybalov Trading Sequences (ZC95154)	Charts showing trading sequences previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit
462	Various	17 Alex Gerko Trading Sequences (GSAHFFXTK)	Charts showing trading sequences previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit
463	3/5/2008	BSNGSMITH Trading Sequence	Charts showing trading sequence previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit
464	4/3/2008	BSNGSMITH Trading Sequence	Charts showing trading sequence previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit
465	4/3/2008	BSNGSMITH Trading Sequence	Charts showing trading sequence previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit
466	5/27/2008	BSNGSMITH Trading Sequence	Charts showing trading sequence previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
467	2/24/2009	GSMITH Trading Sequence	Charts showing trading sequence previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit
468	11/18/2009	SPILLER Trading Sequence	Charts showing trading sequence previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit
469	5/13/2010	JEDMONDS Trading Sequence	Charts showing trading sequence previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit
470	5/24/2010	GSMITH Trading Sequence	Charts showing trading sequence previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit
471	5/24/2010	GSMITH Trading Sequence	Charts showing trading sequence previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit
472	10/14/2010	GSMITH Trading Sequence	Charts showing trading sequence previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
473	1/7/2011	MNOWAK Trading Sequence	Charts showing trading sequence previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit
474	12/12/2011	GSMITH Trading Sequence	Charts showing trading sequence previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit
475	1/18/2012	GSMITH Trading Sequence	Charts showing trading sequence previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit
476	7/12/2012	GSMITH Trading Sequence	Charts showing trading sequence previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit
477	7/12/2012	GSMITH Trading Sequence	Charts showing trading sequence previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit
478	11/12/2012	CTRUNZ Trading Sequence	Charts showing trading sequence previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
479	3/21/2013	MNOWAK Trading Sequence	Charts showing trading sequence previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit
480	5/15/2013	CTRUNZ Trading Sequence	Charts showing trading sequence previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit
481	7/1/2013	GSMITH Trading Sequence	Charts showing trading sequence previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit
482	7/1/2013	GSMITH Trading Sequence	Charts showing trading sequence previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit
483	8/14/2013	JEDMONDS and DTURNBULL Trading Sequences	Charts showing trading sequence previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit
484	11/19/2014	GSMITH Trading Sequence	Charts showing trading sequence previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
485	1/15/2015	GSMITH Trading Sequence	Charts showing trading sequence previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit
486	5/11/2016	CTRUNZ Trading Sequence	Charts showing trading sequence previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit
487	6/13/2016	CTRUNZ Trading Sequence	Charts showing trading sequence previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit
488	7/11/2016	CTRUNZ Trading Sequence	Charts showing trading sequence previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit
489	10/22/2008	Barrier Option Trading Sequence	Charts showing trading sequence previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit
490	11/19/2008	Barrier Option Trading Sequence	Charts showing trading sequence previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
491	3/11/2013	Barrier Option Trading Sequence	Charts showing trading sequence previously disclosed on June 20, 2021 that the government expects to offer in its case-in-chief at trial			Objections reserved pending receipt of exhibit
492	Various	CME RAPID data for Trading Sequences in GX 450 - 491	CME order book and market depth data for certain trading sequences			Objections reserved pending receipt of exhibit
493	Various	CME full-day RAPID data for Trading Sequences in GX 450 - 491	CME order book and market depth data for certain trading sequences			Objections reserved pending receipt of exhibit
494	Various	CME RAPID and ARMADA data excerpts of episodes involving Quantlab	CME order book and market depth data for certain trading sequences			Objections reserved pending receipt of exhibit
495	Various	CME RAPID and ARMADA data excerpts of episodes involving Susquehanna	CME order book and market depth data for certain trading sequences			Objections reserved pending receipt of exhibit
496	Various	CME RAPID and ARMADA data excerpts of episodes involving GSA Capital	CME order book and market depth data for certain trading sequences			Objections reserved pending receipt of exhibit
497	Various	CME RAPID and ARMADA data excerpts of episodes involving Citadel	CME order book and market depth data for certain trading sequences			Objections reserved pending receipt of exhibit
498	Various	Summary Analysis of Trading Sequences in GX 450 - 457	Summary statistics regarding certain trading sequences			Objections reserved pending receipt of exhibit
499	Various	Order Size Analysis (GSMITH, MNOWAK, CTRUNZ, JEDMONDS)	Analysis of certain orders sizes for particular Tag50s			Objections reserved pending receipt of exhibit
500	6/9/2009	GSMITH Episode Animation	Trading sequence animation			Objections reserved pending receipt of exhibit

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No.	Date	Description	Relevance	BegDocID	EndDocID	Deft Objections
501	12/17/2009	GSMITH Episode Animation	Trading sequence animation			Objections reserved pending receipt of exhibit
502	7/13/2010	MNOWAK Episode Animation	Trading sequence animation			Objections reserved pending receipt of exhibit
503	7/20/2010	MNOWAK Episode Animation	Trading sequence animation			Objections reserved pending receipt of exhibit
504	12/15/2010	MNOWAK Episode Animation	Trading sequence animation			Objections reserved pending receipt of exhibit
505	2/1/2011	GSMITH Episode Animation	Trading sequence animation			Objections reserved pending receipt of exhibit
506	7/21/2011	MNOWAK Episode Animation	Trading sequence animation			Objections reserved pending receipt of exhibit
507	6/7/2012	MNOWAK Episode Animation	Trading sequence animation			Objections reserved pending receipt of exhibit
508	2/6/2013	GSMITH Episode Animation	Trading sequence animation			Objections reserved pending receipt of exhibit
509	3/4/2013	MNOWAK Episode Animation	Trading sequence animation			Objections reserved pending receipt of exhibit
510	5/14/2013	GSMITH Episode Animation	Trading sequence animation			Objections reserved pending receipt of exhibit

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Appendix A
Defendants' Objections & Counter-Designations to Certain Government Exhibits

GX 369 Transcript of CFTC Deposition of Michael Nowak (Vol. 1) (8/3/2010)

Govt. Designations	Deft. Objections	Deft. Counter- Designations
1–6	R. 802 hearsay; R. 403 prejudice, confusion, delay	None
16–19	None	None
20–25	None	94:5–95:8
28	None	26:4–28:5 29:7–30:12
33–35	None	138:4–139:18
46–48	R. 401 relevance; R. 403, prejudice, confusion, delay	None
50–53	None	97:9–99:8 111:3–113:11
57	None	None
72–73	None	61:11–62:25
83–84	None	79:9–20 85:2–86:9
106–107	None	None
219–220	R. 401 relevance; R. 403 prejudice, confusion, delay	None

GX 370 Transcript of CFTC Deposition of Michael Nowak (Vol. 2) (8/4/2010)

Govt. Designations	Deft. Objections	Deft. Counter- Designations
265	R. 401 relevance; R. 403 prejudice, confusion, delay	266:1–267:16

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Govt. Designations	Deft. Objections	Deft. Counter- Designations
347	R. 401 relevance; R. 403 prejudice, confusion, delay	348:1-12
360	None	361:1-15
381-385	None	313:8-318:14 435:5-437:23
397	R. 401 relevance; R. 403 prejudice, confusion, delay	None
440-442	None	None

GX 372 Transcript of CFTC Deposition of Christopher Jordan (Vol. 2) (9/16/2010)

Govt. Designations	Deft. Objections	Deft. Counter- Designations
1-4	R. 802 hearsay; R. 403 prejudice, confusion, delay	None
151-157	R. 802 hearsay	86:18-88:3 158:1-21

GX 373 Transcript of CFTC Deposition of Gregg Smith (2/17/2017)

Govt. Designations	Deft. Objections	Deft. Counter- Designations
1-4	R. 802 hearsay; R. 403 prejudice, confusion, delay; R. 401 relevance	None
29	R. 401 relevance; R. 403 prejudice, confusion, delay	None
62-63	R. 401 relevance; R. 403 prejudice, confusion, delay	64:1-65:7
135	None	136:1-12

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Govt. Designations	Deft. Objections	Deft. Counter- Designations
162–166	R. 403 prejudice, confusion, delay	156:7–10 167:11–19 173:22–174:11

[GX 375 Transcript of Deposition of Gregg Smith in *Shak v. J.P. Morgan Chase & Co.*, 15 Civ. 994 \(S.D.N.Y.\) \(11/15/2017\)](#)

Govt. Designations	Deft. Objections	Deft. Counter- Designations
96–98	None	100:13–23
139	None	126:10–15 126:18–127:9 127:20–128:14
150–153	R. 401 relevance; R. 403 prejudice, confusion, delay	163:7–164:12
247–248	R. 401 relevance; R. 403 prejudice, confusion, delay	None
252	R. 401 relevance; R. 403 prejudice, confusion, delay	None

CERTIFICATE OF SERVICE

I, Matthew F. Sullivan, hereby certify that on May 5, 2022, I caused the foregoing exhibit list to be electronically filed with the Clerk of Court by using the Court's electronic filing system, which will automatically send a notice of electronic filing to the parties who have entered an appearance in this case.

/s/*Matthew F. Sullivan*
Matthew F. Sullivan